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September 17, 2001

Dear Colleague:

I am pleased to announce the Fiscal Year 2002 Matching Grant Program funded Request for Application (RFA) through the Bureau for Humanitarian Response, Office of Private and Voluntary Cooperation (BHR/PVC). This grant program focuses on strengthening the technical and organizational capacity of U.S. Private and Voluntary Organizations (PVOs) and, through them, strengthening partnerships with local organizations to achieve sustainable service delivery. Copies of the guidelines and application may be downloaded from USAID's website ([www.usaid.gov](http://www.usaid.gov)). Applications are due in to BHR/PVC by December 11, 2001.

The program purpose and scope, as well as the eligibility requirements and review process are described in detail in the accompanying Guidelines. The RFA continues to build on PVC's Strategic Plan for 1996-2000, further detailing the plan's emphasis on partnership, sustainability and managing for results in order to reach our Strategic Objective: increased capability of PVC's PVO partners to achieve sustainable service delivery. This year's Matching Grant application has been further modified to ensure its consistency with BHR/PVC's Strategic Objective and to harmonize core components with other grant mechanisms within PVC. The guidance and application also incorporate the program priorities that have emerged based on lessons learned in the current strategy, an assessment of past performance, and an analysis of current trends. These include: New Program Approaches; Development of Strategic Partnerships; Enhancing Networks and Coalitions; Strengthening Local Organizations; Expanding and Replicating Proven Program Approaches; Promoting PVO Organizational and Technical Development; and Strengthening Information Technology. This year's RFA initiates two new award categories for all sectors. A pilot concept paper for advanced microenterprise PVOs will be issued later as a separate RFA.

This year's guidelines reflect PVC's continuing focus on increasing the sectoral capacity of PVOs and their partners to track tangible results in USAID priority areas. The Matching Grant Program is interested in the promotion of long-term sustainability of program benefits, as well as a continuing commitment to support the development of formal partnerships between U.S. PVOs and local NGOs and other community-based partners, including local businesses, to strengthen their capacity.

We continue to encourage experienced PVOs that are seeking new avenues for capacity building to consider becoming a mentoring organization. The mentoring component between a small, nascent PVO and one that has received prior Matching Grant funding is

again a special consideration this year. Mentoring could range from information sharing, to technical assistance in systems development, to joint venturing by means of a sub-agreement with the nascent organization.

BHR/PVC looks forward to reviewing many fine applications in FY 2002, and I personally look forward to the opportunity to collaborate with you as a partner in development.

Sincerely,

Judith Gilmore  
Director  
Office of Private and Voluntary Cooperation  
Bureau for Humanitarian Response

UNITED STATES AGENCY FOR INTERNATIONAL DEVELOPMENT

**REQUEST FOR APPLICATIONS (RFA)**

**Solicitation No.: M/OP-02-011**

**Date Issued: September 14, 2001**

**Closing Date: December 11, 2001 5:30 PM EST**

**FY 2002**

**MATCHING GRANT PROGRAM**

**BUREAU FOR HUMANITARIAN RESPONSE  
OFFICE OF PRIVATE AND VOLUNTARY COOPERATION**

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[http://www.usaid.gov/procurement\\_bus\\_opp/procurement/solicitation/](http://www.usaid.gov/procurement_bus_opp/procurement/solicitation/) Receipt of this RFA through the Internet must be confirmed by written notification to BHR/PVC (fax (202) 216-3039 or 3041). It is the responsibility of the recipient of this solicitation document to ensure that it has been received from the Internet in its entirety. USAID bears no responsibility for data errors resulting from transmission or conversion processes. If not downloading from the Internet, but rather requesting a copy on a 3.5" floppy diskette or hard copy, please provide a blank diskette and a self-addressed label to the Mailing Address listed in Section III.A of this RFA.

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## **LIST OF ACRONYMS**

BHR	Bureau for Humanitarian Response
CDO	Cooperative Development Organizations
DIP	Detailed Implementation Plan
FY	Fiscal Year
IR	Intermediate Result
LOP	Life of Project
MGRC	Matching Grant Review Committee
NGO	Non-governmental Organization
OP	Office of Procurement
PVC	Office of Private and Voluntary Cooperation
PVO	Private Voluntary Organization
RFA	Request for Applications
SO	Strategic Objective
TA	Technical Assistance
USAID	United States Agency for International Development

## ***REQUEST FOR APPLICATIONS***

The United States Government, as represented by U.S. Agency for International Development (USAID), Bureau for Humanitarian Response, Office of Private and Voluntary Cooperation (BHR/PVC), seeks applications from U.S.-based private and voluntary organizations (PVOs) to further USAID's evolving priorities such as micro-enterprise development and strategic partnerships as well as geographic interests such as the special needs of Africa, Central Asia, and Central America. The Matching Grant program helps U.S. PVOs develop their community based programs overseas.

This RFA is issued under the authority of the Foreign Assistance Act of 1961, as amended. USAID plans to enter into a Cooperative Agreement with selected PVOs that meet the requirements of this RFA. Awards will be administered through 22 CFR 226 and the USAID Standard Provisions.

USAID reserves the right to fund any or none of the applications submitted in response to this RFA. Awards will be made subject to the availability of funds.

### **NEW THIS YEAR:**

The RFA continues to build on PVC's Strategic Plan for 1996-2000, further detailing the plan's emphasis on partnership, sustainability and managing for results in order to reach our Strategic Objective: increased capability of PVC's PVO partners to achieve sustainable service delivery. This year's Matching Grant application has been further modified to ensure its consistency with BHR/PVC's Strategic Objective and to harmonize core components with other grant mechanisms within PVC. The guidance and application also incorporate the program priorities that have emerged based on lessons learned in the current strategy, an assessment of past performance, and an analysis of current trends. This year's RFA initiates two new award categories for all sectors.

Any prospective applicant who has a question concerning the contents of this RFA should submit questions in writing to the Matching Grant Division, BHR/PVC (fax (202) 216-3041 or 3039) or via email at [mherbert@usaid.gov](mailto:mherbert@usaid.gov). Any additional information regarding this RFA will be furnished through an amendment to this RFA.



## **I. BACKGROUND**

### **A. Overview of the Office of Private and Voluntary Cooperation**

PVC, operating within USAID's Bureau for Humanitarian Response, is the principal office within USAID for promoting the development of partnerships with private voluntary organizations (PVOs) and cooperative development organizations (CDOs). PVC is a critical participant in the development of Agency policies that affect these non-governmental organizations (NGOs). PVC is responsible for registering PVOs for the Agency and is a central point of contact in USAID for information on PVO capabilities and programs.

PVC administers and funds a number of competitive grants programs that support PVOs and their in-country partners to address critical development needs. PVC's grants programs include Matching Grant, Child Survival, Cooperative Development, Victims of Torture, Farmer-to-Farmer, Development Education, and Ocean Freight Reimbursement.

### **B. PVC's Program Strategy**

PVC's primary mandate is to strengthen the capacity of PVOs to design and implement innovative and effective development activities in priority sectors of mutual interest to USAID and the PVO community. PVC's Strategic Objective is "to increase the capability of PVC's PVO partners to achieve sustainable service delivery." At the same time, PVC seeks to ensure that increased capacity results in effective service delivery at the local level.

Activities to achieve this objective include the following:

- ❑ improving the operational and technical capacity of PVOs;
- ❑ strengthening USAID and PVO partnerships;
- ❑ strengthening partnerships between PVOs and in-country nongovernmental organizations;
- ❑ improving the mobilization of resources for development activities; and
- ❑ raising U.S. public awareness of the importance of USAID's development assistance programs.

PVC's Strategic Plan outlines PVC's program directions and provides a framework for PVC funded grants programs. To understand how the grants contribute to achieving PVC's strategic objectives, all prospective applicants are urged to familiarize themselves with the Strategic Plan and the latest Results Review (R2). To download PVC's Strategic Plan and R2, go to PVC's homepage at [http://www.usaid.gov/hum\\_response/pvc/pvcpubs.html](http://www.usaid.gov/hum_response/pvc/pvcpubs.html)

PVC is in the process of developing a new five-year Strategic Plan. Program priorities have emerged based on the lessons learned in the current strategy, an assessment of past performance, and an analysis of current trends. These priorities incorporate new program approaches and strategies that may be implemented within the existing PVC grant programs. These include the following:

#### *(a) New Program Approaches*

PVC will support opportunities for PVOs to address critical and emerging issues. Illustrative examples include: a) developing rapid response and multi-sectoral approaches to HIV/AIDS in countries where the diseases are prevalent; or b) testing new program approaches to incorporate more conflict mitigation efforts within development programs. These types of approaches will enhance PVC's continuing programs in all Agency sectors.

#### *(b) Development of Strategic Partnerships*

PVC will increase involvement and investment through partnerships with corporations, universities, and foundations that will result in increased parallel investments in PVO development programs. Some examples include: a) forging

partnerships with agribusinesses to increase private sector investments in preventive maternal and child health services; or b) leveraging U.S. business support for social and economic development programs implemented by U.S. PVOs and local coffee cooperatives.

*(c) Enhance Networks and Coalitions*

PVC will fund programs that strengthen national and in-country coalitions and networks to become stronger implementers and advocates in priority sectors, such as agriculture, environment, health, education, civil society, and human rights. Working with these groups can: enhance policy reform, technical leadership, shared learning, and innovation; expand impact; and create sustainable programs.

*(d) Strengthen Local Organizations*

PVC supports partnership efforts to increase the capacity of PVOs to strengthen regional, national, and local groups to improve their ability to design and deliver services. The role of the PVO is evolving from that of a direct service provider to that of a facilitator of the work carried out by nongovernmental organizations, cooperatives, cooperative development organizations, and in-country civil-society organizations. As programs and services become increasingly decentralized, these partners are playing an important role in assisting local governments to develop and implement equitable and sustainable services.

*(e) Expand and Replicate Proven Program Approaches*

PVC will fund programs that place priority on expanding effective and successful programs (such as scaling-up), transferring technical capacity to non-governmental organizations and other local groups to implement these programs, and institutionalizing the skills needed to sustain programs and learning. PVC also will support the policy reform and advocacy processes needed for national or multi-country replication.

*(f) Promote PVO Organizational and Technical Development*

PVC will continue to support organizational and technical development, especially for PVOs that want to work in, or expand into, new sectors. Examples include promoting:

- ❑ relief PVOs that want to build development capacity in health and child survival;
- ❑ development PVOs that want to integrate HIV/AIDS activities in their microenterprise programs;
- ❑ agricultural PVOs that want to move to a multi-sectoral approach by offering business development services; and
- ❑ development PVOs working in conflict prone countries that want to address issues of conflict and natural disaster within the context of development needs.

*(g) Strengthen Information Technology*

PVC will support PVOs and their partner's efforts in developing their organizational capacity to take full advantage of information technology, including accessing emerging media communication to meet their needs. Examples include:

- ❑ Spurring the deployment of advanced information infrastructure to remote and other under served populations;
- ❑ Providing education and training to local entrepreneurs, knowledge workers, policymakers and regulators; and
- ❑ Fostering the use of information technology in agriculture, commerce, health, education, the environment and other sectors supported by USAID.

### **C. Overview of the Matching Grant Program**

The Matching Grant Program (MG) supports private and voluntary organization (PVO) programs that are consistent with USAID's development priorities. Additional background information on the Matching Grant Program can be found on the PVC homepage at [http://www.info.usaid.gov/hum\\_response/pvc](http://www.info.usaid.gov/hum_response/pvc).

PVOs are awarded Matching Grants based on their demonstrated capability to implement successful sustainable development programs. The program supports institutional strengthening of PVO headquarters and field programs while furthering the development goals and objectives of USAID. The Matching Grant Program also enables PVOs to undertake experimental or innovative projects, which are on the cutting edge of development efforts and offer potential for learning and replication.

Now in its twenty-third year, the Matching Grant Program is the Office of Private and Voluntary Cooperation's principal vehicle to help U.S. PVOs and their local NGO partners develop their community-based programs overseas. By matching dollar-for-dollar a PVO's own resources, the Program supports PVO activities that are consistent with USAID's evolving priorities (such as microenterprise development, HIV/AIDS and Democracy and Governance) and geographic interests (such as the special needs of Africa, Central Asia and Central America).

Matching Grant Program objectives are as follows:

- ❑ expand and strengthen the field programs of PVOs in order to increase prospects for sustainability and results in program areas that are consistent with USAID policies and priorities;
- ❑ assist PVOs to further enhance their planning systems, management systems and technical competencies to carry out development programs;
- ❑ develop the capacity of in-country non-governmental organizations, governmental and community-based organizations, and/or for-profit enterprises through formalized partnership agreements with PVOs; and,
- ❑ increase U.S. private resources directed to development assistance by matching private contributions on a dollar-for-dollar basis through a combined public and private partnership.

## **II. Eligibility Requirements and Program Priorities**

### **A. Funding Priorities**

PVC invests USAID resources in well-designed, innovative, technically sound, cost-effective programs that focus on activities and strategies that are expected to have the greatest and most sustainable impact.

PVC's priorities include supporting programs that do the following:

- ☐ contribute to PVC's and the private and voluntary organization's (PVO's) long-term strategic goals and objectives;
- ☐ include deliverables at reasonable cost and with a high potential for sustainability;
- ☐ develop synergies with other sector programs on the same site, such as food aid, microenterprise, water and sanitation, and agriculture, carried out by the same PVO or complementary to other organizations; and
- ☐ work in partnership with regional, national, or in-country organizations.

### **B. Eligibility and Program Requirements**

All applications will be reviewed for eligibility against the requirements outlined below and for conformity and consistency with the specifications stated in these guidelines and in the attached application form.

#### *1. Eligibility Requirements*

To be eligible for funding under the PVC Grants Programs, an organization must meet the following criteria:

- ☐ be a PVO, currently registered with USAID at the time of application submission, except for the FTF and Cooperatives Programs; and
- ☐ receive at least 20% of its total annual financial support for its international programs from non-U.S. government sources.

#### *2. Program Requirements*

Proposed programs must meet the following criteria:

- ☐ have an established track record (minimum of three years) in planning, managing, monitoring and evaluating overseas development programs;
- ☐ provide at least a 50% U.S. dollar cash match for the proposed program;
- ☐ have completed an external programmatic evaluation (not to be confused with a financial audit) of its activities within the last three years prior to application submission;
- ☐ be in an eligible country or countries; (see Appendix B for a list of eligible countries and Appendixes C & E for addresses and cover sheet for USAID missions)
- ☐ responds to the priorities and policies of PVC, the USAID mission (where one exists), and the host country;
- ☐ involve formal partnership(s) with a local government, non-governmental organization, community partner, or other in-country organizations; and
- ☐ be for periods of either 3 or 5 years. (note: that in the past new applicants to PVC were restricted to 3 years. This rule no longer applies.)

### **C. Program Restrictions**

PVC cannot finance programs that are any of the following:

- ☐ academic or basic, research-oriented endeavors;

- ❑ construction or commodity procurement; or
- ❑ not focused on development, such as emergency relief activities\*; or
- ❑ consistent with the Establishment Clause, USAID may finance only programs that have a secular purpose and which do not have the primary effect of advancing or inhibiting religion. This means that a USAID-financed activity may not (1) result in government indoctrination of religion, (2) define its recipients by reference to religion, or (3) create an excessive government entanglement with religion. USAID grantees and other recipients of our funds must allocate our assistance based on neutral, secular criteria that neither favor nor disfavor religion and, such assistance must be made available to both religious and secular beneficiaries on a nondiscriminatory basis.

**\*Note:** This does not preclude applications for development activities that focus on conflict prevention or resolution, disaster mitigation, or post-disaster response. In fact, these activities are encouraged.

## **D. Award Categories**

PVC requests applications for two categories: (1) Entry; and (2) Growth and Innovation. Applicants only compete against others in the same category. A PVO may only submit one application per grant cycle, i.e., applications for both the Entry and Growth and Innovation categories will not be considered. The application's technical focus may be in one sector or several. The RFA provides additional information on preparation of the technical proposal and sectors beginning on page 16. Please note that any PVO with a current Matching Grant that does not end in FY 2002 is ineligible to apply for any category.

The principle Matching Grant award sectors are: Economic Growth and Agriculture, Population Health and Nutrition, Environment, Democracy and Governance, and Human Capacity Development. Please refer to the USAID website for more information regarding these sectors.

### *1. Entry Category*

*Cooperative Agreements are awarded for 5 years.*

#### **Description**

The Entry Category consists of competitively awarded Cooperative Agreements. It is designed to encourage new PVO partners to plan and implement effective development programs in USAID eligible countries (see Appendix B). The objectives are to provide support to organizations seeking to do at least one of the following:

- ❑ strengthen their organizational and/or technical capacity to design and deliver high impact programs in concert with their local partners;
- ❑ undertake programmatic interventions in a sector in which they have not previously been involved and need to carry out related organizational development activities; or to
- ❑ expand organizational and technical capacities beyond humanitarian assistance to development response.

#### **Eligibility-Entry Category**

The applicant must meet the general requirements for all PVC-funded programs (see sections II.A., II.B. and II.C.). In addition, the applicant must never have received a competitively awarded Matching Grant-funded Cooperative Agreement in the technical sector for which it is applying.

### *2. Growth and Innovation Category*

*Cooperative Agreements are awarded for 3 or 5 years.*

#### **Description**

The Growth & Innovation Category is made up of competitively awarded Cooperative Agreements that support experienced PVO partners to address key implementation issues and/or to develop and test a new generation of programs and approaches.

This category provides the PVO community with an opportunity to build on previous experience to:

- ❑ replicate or expand highly effective programs to reach substantially higher levels of performance and/or scale; or
- ❑ address major implementation issues such as sustainability, policy advocacy, partnership, local coalitions, networks, and intermediate service organizations or local NGO support organizations that are critical for enhanced operational performance and scale; or
- ❑ develop, test and adopt effective new approaches that will influence the direction of future programming.

All PVOs applying for funding in this category are encouraged to pursue partnerships as well as strategic alliances, where feasible, that leverage significant resources and parallel investments for PVO-led development activities and to undertake related organizational development activities. Successful applicants will be expected to document, develop and disseminate best practices among their partners and peers. Applicants must specify the timeframe (three or five years) of the proposed program.

Mentoring under the Growth and Innovation Category: PVC is interested in providing PVOs new to the Matching Grant Program with the opportunity to participate through partnerships with PVOs experienced in the program. Applicants that have successfully implemented a prior Matching Grant will receive special consideration for including a mentoring component with a small, nascent U.S. PVO working in complementary areas. This is intended to provide a vehicle for these organizations to gain experience without the full responsibility of program management. Detailed information should be provided on the roles and responsibilities of each organization.

**Eligibility-Growth and Innovation Category**

The applicant must meet the general requirements for all PVC-funded programs (see sections II.A., II.B. and II.C.). In addition, the applicant must have previously received a competitively awarded Matching Grant-funded Cooperative Agreement in the technical sector for which it is applying.

### SUMMARY OF AWARD CATEGORIES

Award Category	Experience with PVC	Description of Possible Program Activities
Entry	PVOs that are new to the Matching Grant Program.	<ul style="list-style-type: none"> <li><input type="checkbox"/> Strengthen organizational and/or technical capacity for PVO and local partner(s).</li> <li><input type="checkbox"/> Build new operational and/or technical capacity.</li> <li><input type="checkbox"/> Expand from relief to development.</li> </ul>
Growth & Innovation	Established PVOs with a sectoral track record and experience with the Matching Grant program. Also includes experienced PVOs willing to take on a highly visible, leadership role.	<ul style="list-style-type: none"> <li><input type="checkbox"/> Focus on key implementation or operational priorities, expand and replicate effective program models.</li> <li><input type="checkbox"/> Address major implementation issues that are critical for enhanced operational performance and scale.</li> <li><input type="checkbox"/> Develop, test and adopt effective new approaches.</li> <li><input type="checkbox"/> Document, develop and disseminate best practices.</li> <li><input type="checkbox"/> Pursue strategic alliances.</li> <li><input type="checkbox"/> Mentor a PVO</li> </ul>

### III. APPLICATION INSTRUCTIONS

#### A. General Instructions to Applicants

Applicants must submit a technical and cost proposal with the following page limitations.

The following are the page limits:

Budget Information:	No limit
Executive Summary:	2 pages
Body of Application :	35 pages
All Attachments:	25 pages

To be considered for an award under the Matching Grant Program, applications must ensure that their proposal complies with instructions below. The applicant must submit the entire Matching Grant application to USAID's Bureau for Humanitarian Response, Office of Private and Voluntary Cooperation, Matching Grant Division by December 11, 2001, 5:30 p.m. EST. Any prospective applicant who has a question concerning the contents of the RFA should submit written questions and reference this RFA number to: Mary Herbert, Matching Grant Division, BHR/PVC fax (202) 216-3041 or email: mherbert@usaid.gov.

#### B. Preparation and Submission Instructions

##### *1.(a) Submission of Technical Proposal to PVC*

- ❑ The body of the application is not to exceed 35 numbered pages on 8 ½" by 11" paper, excluding budget information, and attachments are not to exceed 25 numbered pages in total.
- ❑ The text of the application should be cast in Times New Roman font, 12 point size. There are two exceptions: 1) budgets may be in a slightly smaller font (10 point), and 2) tables may use smaller fonts, but must be easily readable. No type face or characters should be smaller than 10 characters per inch.
- ❑ Submit one original and two copies of the entire application, including all attachments. The original should be printed on plain paper, single-sided, and unbound, so that it is "photo ready." The two additional copies can be made on plain paper, double-sided, and bound.
- ❑ Provide a copy of your proposal, including all attachments, on a 3 ½" diskette (formatted for Word 97 (for text) and on Excel (for spreadsheet attachments).
- ❑ Submit all attachments in English. Foreign documents accompanied by an English translation are acceptable.

Each application must include signed USAID Certifications Assurances and other Statements (Appendix I) and its Assurance of Compliance (Appendix J) pertaining to compliance with applicable Federal and USAID-accepted policies for personnel, travel, and procurement systems. If the Recipient Certificate of Compliance has been completed for other USAID grants it is not necessary to fill that out again. A copy of the Recipient Certificate of Compliance may be included in the application. Also, a copy of the Assurance of Compliance from another USAID agreement may be included in the application if that Assurance has been completed within a year from the due date of the application, otherwise it must be updated. Contact Mr. Steve Tashjian, Branch Chief USAID/M/OP/PS/OCC at 202-712-5321 or Fax: 202-216-3143 for additional information.

- ❑ An applicant may send the original application and the two copies either via U.S. mail or by courier at the following address:

**Mail:**  
Matching Grant Division  
FY2002 Application  
ATTN: Mary Herbert  
USAID/BHR/PVC/MGD  
1300 Pennsylvania Avenue, N.W.  
Room 7.6D, RRB  
Washington, D.C. 20523-7600



**OR**

By courier please indicate 14<sup>th</sup> Street Lobby. Allow sufficient time for security check of all packages and personal property. Once cleared, contact Ms. Herbert (202) 712-4644 from the guest phone for retrieval of the proposal.

**1.(b) Submission to USAID Missions**

Each applicant must send a copy of its application to the USAID mission(s) in the country or countries where it proposes to work. **The application must be received by the mission(s) no later than December 17, 2001.**

The application. (See Appendix E) must include a securely fixed completed cover sheet. Appendix C contains names and addresses for missions and contact persons. Mission mailing addresses, however, are subject to change. We encourage applicants to verify that each mission and the Washington office received the application.

**2. Application Format Summary**

All applications for Matching Grant funding for FY 2002 must be made by completing the items below, including attachments where requested. The Evaluation Criteria in Section IV may be used as a checklist to ensure that **ALL** criteria are included in the application. Cross-reference any repetitive information. If any item is not applicable for the program, explain why it is not applicable. Do not omit reference to that item. Refer to Section C below for more information on the format.

**(a) Required components for all applications:**

- FY 2002 Matching Grant Application Summary (section IIIC)
- Executive Summary
- Overview of the Applicant
- Program Description
  - Situational Analysis
  - Rationale for Program Approach
  - Specific Program Objectives, Interventions, and Activities.
  - Performance Measurement
- Program Management and Structure
  - Organizational Structure
  - Human Resources
  - Contingency and Security Planning
  - Financial Management
  - External Program/Project Evaluations
  - Work Plan
- Budget and narrative, including Standard forms 424 and 424A (See Appendixes F, G and H)

**(b) Required Attachments:**

- Organigram with names and positions of program relevant staff or indicate “to be recruited” where applicable.
- Brief resumes or bios of program relevant staff and position descriptions of staff “to be recruited”
- Self-Certification Form (see appendix I)
- Certificate of Compliance Letter (see appendix J)
- List of current and previous USAID funded programs, including USAID source of funds, the amount and brief description of the relevant activities.
- Copy of executive summary, conclusions and recommendations from an evaluation report of program not funded by the Matching Grant Program (if applicant is new to Matching Grant)
- For Microenterprise programs only: Sustainability Methodology for Microenterprise Programs (appendix K), the Simplified Activity and Financial Statement in US \$ (appendix L), the Aging of Portfolio Report (appendix Lb), and the Financial Ratios (appendix Lc).

## C. Technical Application Format

### 1. FY 2002 Matching Grant Application Summary

1. Organization Name: \_\_\_\_\_
2. Contact Person: \_\_\_\_\_
3. Address: \_\_\_\_\_
4. Telephone: \_\_\_\_\_
5. Email Address: \_\_\_\_\_
6. Program Period: \_\_\_\_\_ years Award Category: \_\_\_\_\_
7. Proposed Start Date: \_\_\_\_\_, Proposed End Date: \_\_\_\_\_
9. Name and position of the local USAID Mission representative(s) with whom the proposed program has been discussed: \_\_\_\_\_, \_\_\_\_\_, \_\_\_\_\_
10. Principal authors of this document: \_\_\_\_\_, \_\_\_\_\_
11. Requested First Year vs. Life of Project (LOP) Funding Distribution:

	USAID \$ Request	PVO \$ Match
FY 2002:		
Life of Project (LOP):		

### 12. Requested Life of Project (LOP) Funding Distribution by Country:

Location	USAID \$ Request	PVO \$ Match	TOTAL \$
Headquarters:			
Country (list):			
Total (Direct Costs):			
Indirect Costs:			
Life of Project (LOP):			

### 13. Annual Expense Distribution by Country (in thousands of dollars):

Location	Year 1 (\$)	Year 2 (\$)	Year 3 (\$)	Year 4 (\$)	Year 5 (\$)
Headquarters:					
Country (list):					
Total Project Year:					

*The Sum of all Total Project Year(s) should equal TOTAL \$ for Life of Project (LOP) in Table*

### 14. Project Sector/Intervention Descriptions (in percent of LOP):

Location	EGA (%)	PHN (%)	ENV (%)	DG (%)	HCD (%)
Headquarters:					
Country (list):					

\* MG Sector Examples: Economic Growth and Agriculture (EGA), Population, Health and Nutrition (PHN), Environment (ENV), Democracy and Governance (DG), Human Capacity Development (HCD)

*The Sum of all Sectors/Interventions for all Countries and Headquarters should equal 100%*

Each of the categories described in this section should be addressed in the application in the same order. As previously noted, the application is limited to 35 pages excluding attachments. The applicant has discretion regarding how many pages within that 35 page limit is allocated for each section (with the exception of the executive summary, which is limited to 2 pages). The application selection criteria in section IVA should be reviewed in order to understand the relative emphasis that PVC is placing on each category in the review process.

## *2. Executive Summary*

The executive summary in each application is used as an informational document for public inquiries, decision-makers, Congress, and the press. Therefore, the executive summary should contain the information that the PVO believes best represents its proposed program. Please provide a brief narrative description of the program including an overview of the program objectives, activities, intended results, partnerships, length of program, locations, beneficiaries, level of funding requested, and your proposed match. The executive summary must *not* exceed two pages.

## *3. Overview of the Applicant*

The overview is meant to give the review committee an understanding of the PVO that will implement this program. Please bear in mind that not all reviewers will be familiar with each PVO and its capabilities. Provide the following information about the PVO:

- ☐ mission, goals, and objectives and how they relate to the proposed program;
- ☐ sectors worked in, domestic and worldwide activities and past performance references and experiences relevant to technical areas proposed;
- ☐ prior experience working with the host country government(s) where this program will operate; and
- ☐ funding sources to demonstrate the organization's ability to meet the match requirement.

## *4. Program Description*

In this section, the applicant provides a situational analysis; describes the rationale for the program's approach; lists specific program objectives, interventions, and activities; and discusses the applicant's proposed performance measurement approach.

a) Situational Analysis: Portray the current (pre-intervention) conditions in each program area and discuss factors likely to affect proposed program outcomes. Include the following:

- Describe the proposed program area (provide a map with scale in an attachment), and explain the reasons and the process used to select these areas;
- Discuss development problems in the sector(s) in which you propose to work. Include a discussion of the potential for conflict and/or natural disasters and how that may impact the program;
- Describe the intended beneficiaries, including i) their estimated number by gender and age; ii) socioeconomic and behavioral characteristics, and iii) relevant vulnerable sub-populations (by health/education/income levels, class/caste/tribal/ethnic status)
- Identify other service providers and organizations operating in each area and describe the scale and type of support they provide in the relevant sector(s).

b) Rationale for Program Approach. This section links the situational analysis to the proposed program. Indicate any differences by targeted region or country. Include the following:

- Describe how your overall strategy responds to the development needs identified in the situational analysis. Cite information or data to support the rationale that the proposed interventions are the most effective means to address the problem;

- Discuss why your organization has a comparative advantage in carrying out this work. Cite prior relevant experience using specific examples and data;
  - Specify how the proposed approach supports the strategic and program priorities of the host country or countries, USAID mission(s), and PVC;
  - Describe how this strategy will advance the state of knowledge, practice, and access to service in the field or sector in which you are working. Discuss the significance of the proposed approach to development practice beyond the area in which you are working; and
  - Identify any opportunities for synergy with other programs, donors, or sectors, and discuss how the programs might work together and support one another.
- c) Specific Program Objectives, Interventions, and Activities. This section describes in greater detail the major objectives, interventions and activities that will contribute to achieving the program's goals. Discuss the technical and organizational development objectives the project seeks to achieve; the key activities needed to achieve these objectives; and the indicators for each objective for the categories listed below.
- (1) **Technical Interventions:** Briefly describe the technical interventions and major activities that will support achievement of the objectives. Include the following:
- Discuss these activities by year and program areas, including those for the PVO grantee and partners;
  - Identify whether the program will develop new methodologies, materials or pilot new approaches;
  - Indicate how activities might differ by country or region; and
  - Discuss projected length of program and provide a plan to phase in or phase out interventions or program areas.
- (2) **Other Program Interventions:** Describe other interventions, innovations, or strategies that will enhance your ability to achieve program objectives. Provide a rationale for these activities. Possible interventions could include, but are not limited to, the following:
- Developing policy advocacy activities;
  - Building coalitions, alliances and strategic partnerships;
  - Building local organizations that strengthen civil society;
  - Mitigating potential conflicts in the program site;
  - Integrating HIV/AIDS in program activities; and
  - Increase access and use of information technology.
- (3) **Partnership Formation:** Identify your proposed program partners and provide a rationale for the selection of these partners.
- Provide a description of the partners experience relevant to the proposed program and their roles and responsibilities in the program;
  - Discuss your partner's (s') involvement in developing this application.
  - Discuss your organization's approach to working with partners in both the private sector (corporate or foundation), where applicable, and with in-country implementation partners. Cite the success you have had with your approach; and
  - If your application includes a mentoring component, discuss your proposed mentoring partner relative to the Partnership Formation criteria noted above.
- (4) **Organizational Development:** This section describes how the applicant will use this grant to strengthen the institutional capacity of the PVO and its partners. Include approaches to organizational development by the PVO and partners over the course of the program at the PVO and with partners. (See Appendix A, Technical Notes.) Discuss the organizational development strategies proposed, as following:
- Cite organizational capacity assessments that the PVO and partner(s) may have already carried out;
  - Identify specific organizational needs and problems to be addressed by both the PVO and partner(s);
  - Describe how the PVO and partner(s) intend to measure and/or document organizational change; and

- Explain how capacity-building lessons learned from this program will be shared with other programs implemented by the PVO and with the international community.

(5) **Sustainability:** Strong emphasis is placed on promoting long term sustainability of program-related activities or benefits. PVC recognizes there are multiple levels of sustainability, such as sustainability of services, organizational capacity, as well as social cohesion and community competency. PVC encourages applicants to be as specific as possible in defining your organization's approach to enhancing sustainability; articulating a clear operational plan for achieving it, and defining how sustainability will be measured.

Applicants should discuss the following points:

- How you define sustainability and the program's overall strategy for achieving it;
- Which program elements will be sustained;
- The assumptions upon which your sustainability strategy is built: if training, for example, is the basis of the sustainability strategy, how will the training be financed at the end of the PVC-funded program;
- The sustainability objectives, indicators, data sources, and activities; and
- The devolution strategy for transitioning to other funding or transferring all activities to a local partner by the end of the grant period. How will program recurrent costs be phased-out or handed over to a local partner.
- For microenterprise projects only, please provide as an attachment to the application the Sustainability Methodology for Microenterprise Programs described in Appendix K, and Appendix L, Simplified Activity and Financial Statement in US \$.

(6) **Disadvantaged Groups:** Describe approaches to increasing equitable access to, and use of services by, under-served and disadvantaged groups and segments of the population, including gender inequalities;

d) **Performance Measurement.** This section should contain a description of the PVO's current and proposed monitoring and evaluation (M&E) system:

(1) Describe your current M&E system, its limitations, and plans to upgrade this system. Cite specific examples that demonstrate your organization's technical expertise in the following:

- collecting baseline and end-of-project data;
- analyzing data and using it to improve program performance; and
- distilling lessons learned.

(2) Describe how your organization will measure the achievement of program objectives to include the following:

- What types of baseline assessments and studies will be carried out;
- How will the implementation process be monitored;
- How will the data will be aggregated across project sites; and
- The role partners will play in program monitoring and evaluation.

(3) **Complete a Planning Matrix.** Using the tabular format shown in Appendix A, summarize main activities, objectives, indicators, and measurement methods. Link information coherently to succinctly explain how a particular set of activities will achieve a specific objective, and how these results will be measured. A completed planning matrix should include a table for the PVO headquarters and one for each site. Each table also should contain the following:

- A statement of the proposed program goal;
- Main results-oriented objectives;
- Primary activities that will result in achievement of each stated objective;
- Examples of key indicators that will measure the results of each objective; and
- The measurement and data management methods used to collect and analyze indicator data (data sources, frequency of data collection, and methods for collecting and reporting data).

**Note:** The budget for this proposal must include the estimated costs for a final evaluation (all proposals) and a mid-term evaluation (5 year proposals only).

## 5. Program Management and Structure

This section provides an overview of the management of the proposed program. Please be sure to highlight those areas of program management that were not discussed under the Program Description section.

a) Organizational Structure. Describe the management structure for the proposed program, including the following:

- The role and responsibilities of all principal organizations involved;
- The relationships and lines of communication within, and between, partner organizations; and
- How the U.S. headquarters will ensure effective support to the field for this project. In an attachment, provide an organizational chart of the applicant PVO that clearly delineates the key personnel responsible for backstopping the program in the U.S. headquarters office and in the field.

b) Human Resources. Provide the names (where known), titles, and brief position descriptions of key personnel in the applicant PVO and for all implementing partners. Also include those key personnel “to be recruited.” Discuss the following:

- The respective management roles and responsibilities of the named staff;
- How the program will ensure representation of all segments of the community in the staff; and
- In an attachment, provide resumes of the key personnel already on staff or otherwise identified, highlighting their relevant training and experience.

c) Contingency and Security Planning. Natural and man-made disasters affect a substantial number of development programs at some time during the course of implementation. Outline plans to prevent and mitigate the effects of security problems or other emergencies on your organization’s staff and property to ensure the security and safety of program personnel. Include the following:

- Describe plans to maintain the continuity of program services should the threats or crises identified above occur;
- Identify the potential types of threats your organization is most likely to face in the proposed locations and activities;
- Outline your contingency plans for safe sites, a warden system, movement and transport, intra-staff communication, status analysis and evacuation methods; and
- Identify the person(s) responsible for leading the development, review and updating of your security plan. Identify the staff positions (key and alternate) that will be responsible during implementation for security or crisis management at project headquarters and in each country program.

For more information on security issues go to [www.usaid.gov/hum\\_response/ofda/files/pvoguide.pdf](http://www.usaid.gov/hum_response/ofda/files/pvoguide.pdf), page 55.

d) Financial Management. Discuss the roles and responsibilities of project staff vis-à-vis budgeting, monitoring, and reporting on the financial status of the proposed program.

- Explain how costs incurred will be tracked, including costs for labor, equipment, supplies, and facilities, to ensure accountability in the use of U.S. government funds and matching funds;
- Provide an estimated cost per beneficiary; and
- Discuss the current USAID-funded projects undertaken by your organization. Include the USAID source of funds, the amount, and briefly describe each activity. List these projects as an Attachment.

e) External Program/Project Evaluations. Provide a brief discussion of the major results and issues from evaluations completed in the past three years on projects your organization has implemented. Provide the

following information: dates, countries, and identify the evaluators. In addition, provide as an Attachment, the Executive Summary and program recommendations of the most recent evaluation of your organization.

f) Work Plan. Present a brief, but illustrative, work plan for the life of the proposed program. (The plan must be included within the 35-page application limit.) The plan should do the following:

- Reflect the strategies and activities discussed in the program approach;
- Include a more detailed action plan (calendar of essential activities) for the first year of the program, including; activity, approximate timing, and assigned responsibility. Be sure to include all training activities in your work plan; and
- Discuss how the program team will use the work plan during program implementation; and
- Include a separate section for each target country, if applicable, and if activities will differ.

**Note:** For all programs approved for funding, a Detailed Implementation Plan (DIP) must be prepared for submission to USAID within six months of the award start date. Guidance on the DIP will be issued shortly after the award start date.

### SAMPLE WORK PLAN

	Year 1				Year 2	Year 3	Year 4	Year 5
Programmatic Interventions	Q1	Q2	Q3	Q4				
Activity 1	X	X	X					
Activity 2	X	X	X					
Activity 3	X	X	X	X	X	X	X	X
Activity 4		X			X	X	X	X
Activity 5				X				
Activity 6				X		X		X

	Year 1				Year 2	Year 3	Year 4	Year 5
Org. Development, PVO	Q1	Q2	Q3	Q4				
Activity 1	X	X	X					
Activity 2	X	X	X					
Activity 3	X	X	X	X	X	X	X	X
Activity 4		X			X	X	X	X
Activity 5				X				
Activity 6				X		X		X

	Year 1				Year 2	Year 3	Year 4	Year 5
Org. Development, Partners	Q1	Q2	Q3	Q4				
Activity 1	X	X	X					
Activity 2	X	X	X					
Activity 3	X	X	X	X	X	X	X	X
Activity 4		X			X	X	X	X
Activity 5				X				
Activity 6				X		X		X

## D. Budget Preparation and Submission Instructions

### I. STANDARD FORM 424 & 424A

Standard Form 424 is the standard form used by applicants as the required face sheet for applications submitted for Federal assistance. Standard Form 424A is the form used by applicants for presenting overall budget information. Forms 424 & 424A, along with detailed instructions for completing them, are included in Appendixes G & H of this document. Please pay careful attention to the budget instructions. Failure to complete these forms accurately could result in a non-funded application.

Standard Form 424A, Section A, requests costs organized by headquarters and field, and by Federal and Non-Federal. This information should be the same as that presented in other Sections. Federal refers to the funds requested from USAID, and Non-Federal refers to funding from the applicant and other sources. The amounts for Federal and Non-Federal presented here should be the same as the Estimated Funding presented on the face sheet, Standard Form 424, 15.a and b, plus any entry for e. The total program amount on the face sheet should be the same amount presented in Section A, and in Section B.

Headquarters Costs are direct costs incurred by the U.S.-based PVO head office in the United States in support of program activities overseas and for developing the PVO's institutional capacity for carrying on such activities. This does not duplicate established indirect cost rates. The headquarters budget should be directly related to the description of how the PVO builds and maintains technical and operational capacity with respect to the proposed



programmatic interventions. All headquarters costs must be appropriately distributed within the correct Object Class Categories of Standard Form 424A, Section B. **Please note that USAID funding applied to headquarters direct costs must not exceed 50% of the total requested USAID contribution over the life of project.**

Field costs should include all funds designated for expenditure within the targeted countries/regions for carrying out the proposed program. All field costs must also be appropriately distributed in the correct Object Class Categories of Standard Form 424A, Section B. **At least 50% of the total requested USAID contribution over the life of project must be applied towards field-based program implementation.**

The Standard Form 424A, Section B, is divided into eleven Object Class Categories. The amounts in the Object Class Categories must be presented in two columns, Federal, which are the costs being funded by the USAID portion of the overall program budget, and Non-Federal, which are the costs covered by the PVO cost-share portion of the entire program budget. The entire program budget must be appropriately distributed and contained within these categories and columns. The Construction category does not apply to this program. Program costs proposed for “training” and for “sub-grants” must be included in the “Other” Object Class Category.

## *2. Detailed Budget and Budget Narrative*

The detailed budget and narrative should follow the SF424 and 424A, should use the same Object Class Categories, and should fully define and support the costs distributed to both the Federal and Non-Federal portions of the budget. It should contain the following sections:

- a) Headquarters budget
- b) Budget for each targeted country/region
- c) Total program budget (combining a and b)

The basis for the figures in the categories must be supported as indicated below, so that the Agreement Officer will be able to easily verify all costs for the proposed program. This will obviate the need to request budget clarifications, which delay the processing of the award. The narrative need not cover each individual component of each line item. It may cover groups of items as appropriate.

Personnel: Names of staff, titles, person days, rates, indicating if based on current salaries and are appropriate for the locality. Identify all proposed key personnel..

Fringe Benefits: Percentage, base against which calculated.

Travel: Number of trips, departure and arrival locations, position title of each person traveling, number of days per trip, costs based on U.S. coach airfares (clearly distinguishing domestic and international travel) and appropriate per diem.

Equipment: Types, numbers, cost per item, how calculated, i.e., whether based on catalogue or supplier quotes.

Supplies: General description of supplies needed and estimated costs.

Contractual: Consultants (e.g., for evaluation), number of days, rates, per diems.

Other: Details regarding other items budgeted, but including sub-grants, training, if any (Costs must be separated into those assigned to the applicant organization and those for the partner organization which will be shown as a subgrant for purposes of the Cooperative Agreement.)

When allocating costs between Federal and Non-Federal, it is important to note the following:

- a) Procurement - Award recipients are expected to use their own private cost share/matching funds for all procurements of non-expendable property estimated at over \$5000 per unit, for all procurements of motor vehicles (including motor bikes), and for all non-U.S. procurements. This alleviates the requirement for a source/origin

waiver and also places the title to property completely in the recipient's name.

- b) Matching Cost Arrangements - Award recipients will be required to report in their annual reports and in the Financial Status Report Form SF 269 the total amount of cost-sharing/matching to date. Although the recipient will be required to cost-share/match on a life-of-project basis, it is advisable to expend those funds on a pro-rata basis per year and not wait until the last year of the agreement to expend its cost share match. Partner contributions may be applied to the cost-share when auditable as such. While not required, the application will be strengthened if the USAID contribution is gradually reduced over the life of project.

#### IV. REVIEW PROCESS AND EVALUATION CRITERIA

All applications that meet the eligibility and program requirements and conform to instructions in the RFA will be reviewed and scored. The Review Panel will be composed of PVC project officers, other staff members from USAID offices with related interests and appropriate expertise, and specialized technical reviewers from outside the Agency.

##### A. Evaluation Criteria

###### 1. Entry Category

EVALUATION CRITERIA – ENTRY CATEGORY	Maximum Points Per Section
<b><u>A. Program Planning and Feasibility</u></b> <ul style="list-style-type: none"><li>○ Situational analysis, problem statement and rationale for technical interventions are clear and compelling.</li><li>○ Program objectives and proposed activities are clear, results oriented and attainable during the life of the program.</li><li>○ Technical approach/activities and assessment plans are sound.</li><li>○ The PVO has the potential capacity to take on a new sectoral or technical area and/or a comparative advantage in its current sector or technical area.</li><li>○ The applicant has the potential to reach a significant number of new beneficiaries with new or improved services.</li><li>○ The program has potential for replication or scale-up.</li><li>○ The program has the potential to generate tangible results by the end of the agreement and the results are verifiable, measurable and consistent with the expected outcomes.</li><li>○ The program increases equitable access to, and use of services by, underserved and disadvantaged groups and segments of the population, including women.</li></ul>	
Planning and Feasibility Total	35 points
<b><u>B. Organizational Development</u></b> <ul style="list-style-type: none"><li>○ PVO has long-range plan for organizational development that includes new program development and/or program expansion.</li><li>○ The PVO's rationale, objectives and activities for organizational development are clear and will result in significant operational improvements.</li><li>○ There is sufficient institutional support at all levels for the organizational changes and commitment to building new technical competencies.</li><li>○ There are plans to document organizational change.</li></ul>	
Organizational Development Total	25 points
<b><u>C. Partnership</u></b> <ul style="list-style-type: none"><li>○ The project has the potential to result in strengthening local partners and partnerships.</li></ul>	
Partnership Total	10 points
<b><u>D. Sustainability</u></b> <ul style="list-style-type: none"><li>○ Sustainability plans are viable</li><li>○ Plans include objectives and indicators</li></ul>	
Sustainability Total	10 points

<b>EVALUATION CRITERIA – ENTRY CATEGORY</b>	<b>Maximum Points Per Section</b>
<b><u>E. Management</u></b> <ul style="list-style-type: none"> <li>o Management structure suitable for the implementation plan.</li> <li>o Adequate staffing patterns and plans for maintaining services and staff at the end of the project.</li> </ul>	
<b>Management Total</b>	<b>10 points</b>
<b><u>F. Budget</u></b> <ul style="list-style-type: none"> <li>o SF 424, detailed budget, and budget narrative itemize all program costs.</li> <li>o Appropriate use of USAID and cost-share funds, HQ &amp; field costs are realistic.</li> <li>o Program activities are adequately budgeted.</li> <li>o PVO cost-share reflects 50% or more of total budget.</li> <li>o Budget and/or narrative demonstrate partner's participation in planning.</li> </ul>	
<b>Budget Total</b>	<b>10 points</b>

Total Points:

## 2. Growth and Innovation Category

<b>EVALUATION CRITERIA – GROWTH AND INNOVATION CATEGORY</b>	<b>Max. Points per Section</b>
<b><u>A. Program Planning and Feasibility</u></b> <ul style="list-style-type: none"> <li>o Situational analysis, problem statement and rational for technical interventions are clear and compelling.</li> <li>o Program objectives and proposed activities are clear, results oriented and attainable during the life of the program..</li> <li>o Operational problems to be addressed are priority issues --- resolution will result in best practices or will shed new light on issues that lead to enhanced performance.</li> <li>o The program has the potential to result in a model that can be replicated in a number of different areas. Results include: (1) Costs of implementing the model(s) and (2) Applicability under various situations is identified.</li> <li>o Well thought out and convincing plan to assure utilization of effective models and practices.</li> <li>o Evidence that PVO has developed and disseminated best practices in prior programs</li> <li>o The program increases equitable access to, and use of services by, under-served and disadvantaged groups and segments of the population, including women.</li> </ul> <p><u>If the proposed program is focused on scale-up or replication:</u></p> <ul style="list-style-type: none"> <li>o Sufficient evidence available that program model to be replicated/scaled-up is effective</li> <li>o Program has the potential to reach a larger beneficiary base in a sustainable manner over the life of the program.</li> </ul>	
<b>Planning and Feasibility Total</b>	<b>35 points</b>
<b><u>B. Organizational Development (OD)</u></b> <ul style="list-style-type: none"> <li>o PVO assessed and identified OD needs for scale-up/replication, or operations/action research</li> <li>o OD activities will support expanded activities</li> <li>o High probability PVO can document organizational change.</li> </ul>	
<b>Organizational Development Total</b>	<b>15 points</b>
<b><u>C. Partnership</u></b> <ul style="list-style-type: none"> <li>o The project has high potential to result in strengthening of local partners.</li> <li>o Mentoring strategy is realistic and has potential for success (Mentoring is not required).</li> </ul>	
<b>Partnership Total</b>	<b>15 points</b>

<b>EVALUATION CRITERIA – GROWTH AND INNOVATION CATEGORY</b>	
<b><u>D. Sustainability</u></b> <ul style="list-style-type: none"> <li>○ Sustainability strategy realistic and has potential for success. Includes objectives and indicators</li> <li>○ Evidence from prior programs to substantiate sustainability achievements</li> </ul>	
<b>Sustainability Total</b>	<b>15 points</b>
<b><u>E. Management</u></b> <ul style="list-style-type: none"> <li>○ PVO has sufficient depth of expertise, resources and management capacity to finance and manage scaled-up/replicate program operations, and/or</li> <li>○ technical capacity to manage and implement action or operational research needed to address key operational issues.</li> <li>○ PVO has sufficient management and technical support at headquarters to backstop program</li> <li>○ Evidence that PVO has measured performance and impact in prior programs.</li> </ul> <p><u>If the proposed program is focused on scale-up or replication:</u></p> <ul style="list-style-type: none"> <li>○ PVO has sufficient information from past programs on the costs, financial, human resources, partnership needs of scale-up/replication activities.</li> </ul>	
<b>Management Total</b>	<b>10 points</b>
<b><u>F. Budget</u></b> <ul style="list-style-type: none"> <li>○ SF 424, detailed budget, and budget narrative itemize all program costs.</li> <li>○ Appropriate use of USAID and cost-share funds, HQ &amp; field costs are realistic.</li> <li>○ Program activities are adequately budgeted.</li> <li>○ PVO cost-share reflects 50% or more of total budget.</li> <li>○ Budget and/or narrative demonstrate partner's participation in planning.</li> </ul>	
<b>Budget Total</b>	<b>10 points</b>

Total Points:

### C. Application Review and Notification Cycle

This box summarizes the annual issuance cycle and application process of a request for application (RFA).	<b>Time Frame</b>
<b>RFA Release Date</b>	September 2001
<b>Application Due Date-PVC</b>	December 11, 2001
<b>Application Due Date-USAID Missions</b>	December 17, 2001
<b>Notification to Applicant</b>	May/June 2002
<b>Cooperative Agreement Negotiated/Signed</b>	September 2002

## **V. NEGOTIATION AND AWARD**

### **A. Authority to Obligate the Government**

The USAID agreement officer is the only individual who may legally commit the government to the expenditure of public funds. No costs chargeable to the proposed cooperative agreement may be incurred before receipt of either a fully executed cooperative agreement or a specific written authorization from the agreement officer. If an award is recommended, the agreement officer will make a responsibility determination regarding your organization. Before any award decision, the agreement officer may request a pre-award survey of the applicant's organization to assess its financial management capabilities and to confirm that the organization meets all factors of eligibility for this program.

### **B. Budget Negotiations**

If PVC recommends funding of an application to the Office of Procurement, negotiation will be undertaken directly with the applicant by that office. Budget negotiations will be conducted using applicable OMB Cost Principles and other USAID Guidance that may apply. These negotiations will entail a breakdown of each line item, and reduce to writing all understandings between USAID and the Recipient. The Agreement Officer may request, from prospective Recipients, additional information regarding the budget figures. The Cooperative Agreement Budget (CAB) in the award document will be based on the SF 424A budget and the budget narrative submitted by the PVO.

### **C. Program Funding**

#### *1. Amount of Awards*

Entry Category: The maximum USAID contribution will be \$400,000 per year for a potential maximum total of \$2,000,000 over 5 years.

Growth and Innovation Category: The maximum USAID contribution will be \$600,000 per year for a potential maximum total of \$3,000,000 over 5 years.

Funding requests for either category may be for less than the maximum.

PVC anticipates that approximately 30% of the FY2002 Matching Grant awards will be under the New Entry Category while 70% will be under the Growth and Innovation category. PVC approved a total of approximately \$6 million for new awards under the FY 2001 Matching Grant RFA. PVC expects to approve a similar amount for new awards in FY 2002.

#### *2. Cost-Share*

All PVC supported Matching Grant programs are cost-shared between USAID and the PVO, with USAID support not to exceed 50% of the total cash costs of the program. Private matching funds are limited to U.S. dollars received or earned and recorded in the financial accounts of PVC supported programs. The match must be cash. In-kind contributions based on USAID 22 CFR 226 may be applied above and beyond the 50% cash match.

Funds received by the PVO directly from the U.S. Government or USAID intermediaries are not allowable elements of the match but should be identified as sources in the overall budget if they are critical to the program.

Applications should identify all critical sources of support for the program, including private and public cash receipts recorded in the PVO's accounts and in-kind contributions of goods and services and other contributions not recorded in the PVO's accounts but directly supporting its grant program activities.

Criteria for acceptance and allowability for the non-federal contributions are set forth in USAID 22 CFR 226. (Copies of 22 CFR 226 may be obtained through the Government Printing Office, Washington, D.C. 20401.)

## **D. Requirements for Funded Programs**

### *1. USAID Substantial Involvement and Responsibilities*

Cooperative Agreements are grants that have substantial involvement by USAID in the implementation of the program. BHR/PVC will be substantially involved during the period of the Cooperative Agreement. Specifically, the Agreement Officer, or as delegated, the Matching Grant Program Cognizant Technical Officer (CTO) will provide:

- a) Approval of the Detailed Implementation Plan (DIP) submitted to USAID/BHR/PVC within six months (fifteen months for Entry Programs) of the award, and any subsequent revisions. BHR/PVC staff and other technical specialists will review the DIP and meet with the PVO to discuss strengths and weaknesses.
- b) Approval of key personnel including the Headquarters Technical Backstop, Field Program Manager, and Evaluation Team Leaders and any subsequent changes in the positions during the life of the award.
- c) Approval of changes in the program description. This includes changes in specific activities, program location, beneficiary population, international training costs, international travel, indirect cost elements, or the procurement plan. Some of the above changes may require a modification to the Cooperative Agreement by the Agreement Officer.
- d) USAID involvement in monitoring progress toward the achievement of program objectives during the Cooperative Agreement, including written guidelines for the content of annual reports and midterm and final evaluations in accordance with ADS 303.5.11.a.3.

### *2. PVO Recipient Responsibilities*

The selected PVO recipients will be responsible for implementing the program in accordance with USAID's terms and conditions and all other applicable USAID regulations. PVOs will also be responsible for the following activities and documentation during the life of the program for which the PVO receives a grant:

- a) Requesting approval for program's key personnel;
- b) Submitting a detailed implementation plan, using guidance from USAID, within six months of the award and start of the program;
- c) Conducting midterm (when required) and final evaluations and submitting annual reports according to the requirements outlined in the cooperative agreement;
- d) Providing and documenting cost-share;
- e) Requesting approval for any changes in program description;
- f) Submitting updated Standard Form 424A annually (section D and E only); and
- g) Providing copies of the final cooperative agreement to all key program personnel as cited in the agreement.

The awards made pursuant to this RFA will be subject to the requirements of Title 22 of the *Code of Federal Regulations*, Part 226, "Administration of Assistance Awards to U.S. Non-Governmental Organizations," and the applicable Standard Provisions for U.S. Non-Governmental Grantees. The Standard Provisions and 22 CFR Parts 226 and 228 are available on the USAID website at <http://www.usaid.gov/pubs/ads/>.

**TABLE 1: PLANNING MATRIX EXAMPLE**

**INSTRUCTIONS**

*Goal: State the overall, long-term aim of your proposed program*

<i>Outline sequentially, the set of major actions/tasks/operations planned for achieving the above stated objective.</i>	<i>State the specific goal oriented result your proposed program expects to achieve over its life cycle.</i>	<i>Describe measures for assessing progress toward achieving the stated objective</i>	<i>State collection data</i>
--	--	---	------------------------------

**EXAMPLES**

**Goal:** Increase support for micro enterprises in six low-income countries

<b>Major Planned Activities</b>	<b>Objectives</b>	<b>Indicators</b>	<b>Mea Mai</b>
<u><b>PVO Headquarters Example</b></u>  ⇒Develop DIP with targets for each indicator ⇒Recruit micro-enterprise support staff ⇒Complete organizational investment/return analysis for the micro enterprise sector and present report to PVO Board and senior managers ⇒Learn from NGO partners through 3 annual workshops for sharing insights, feedback and lessons from sites	<u><b>Capacity Building Objective Example</b></u>  ⇒Increased technical capacity in micro enterprise programming at HQ	⇒Adoption of key operational changes: - The Board formally adopts technical support for micro enterprises as a PVO goal that is stated in the Po's new strategic plan to be adopted in June 2002 - Add a new line item in HQ budget for a micro enterprise specialist and an assistant  ⇒EOP DOSA evidence that HQ increased programming capacity by learning from NGO partners	⇒U eval (Jun in m - Ci repc imp prog ⇒M ente basi achi
<u><b>Example: Nigeria Program</b></u>  ⇒Conduct organizational assessment of NGO partners currently supporting micro-enterprises ⇒Provide training for NGO partners in: - New methods for supporting micro Enterprises - Fundraising - Business planning - Financial management	<u><b>Sustainability Objective</b></u>  ⇒Increased operational sustainability of NGO partners supporting micro-enterprises in Kadoka state	⇒% NGOs that adopt or adapt new methods for supporting micro enterprises ⇒% NGOs that develop & implement business plans ⇒% NGOs that increase by 10% over the previous year, the amount of money raised through fundraising, corporate investments or contracts	⇒C orga circ amo ⇒D data indi - an sem ⇒U sour



## APPENDIX A *cont.*

### *Sample Organizational Development Areas*

**Strategic Management Practices**-- Strategic management practices are the series of activities that are carried out to ensure that programs reach planned and measurable performance goals within defined budget parameters. Organizations with strong capacity in this area feature a clearly articulated organizational vision, mission, and governance structure that guide management practices, program direction, and task implementation. This area includes, but is not limited to, an organization's capacity in the areas of teamwork, leadership, delegation of authority, decision-making structures including board development and governance, legal structure, and strategic/business planning.

**Organizational Learning**--this capacity area pertains to the evolution of the learning capacity of the organization. Learning organizations collect data from their field programs to document actual conditions and the effectiveness of interventions. They also document adjustments to their programs based on this monitoring data in order to institutionalize innovative strategies. Specific systems or processes are often set up to facilitate the integration of learning into the organization's management decisions. The use of monitoring and evaluation systems and the degree to which the information gathered affects management and programmatic decisions is one important capacity-building aspect of organizational learning.

These organizations routinely recognize the interdependence of the host PVO, its partners, and the beneficiary community, and involve all three components in addressing project challenges and making key decisions. Projects that exhibit strong capacities in the area of organizational learning have created environments where staff, partners, and community members feel comfortable expressing their opinions, even when they know those opinions may not be widely shared by other members of the group.

**Portfolio Expansion**--Successful organizations grow by expanding the scale and scope of their operations. Scale-up take place for example, when successful programs are replicated with appropriate adjustments in different areas of a country or in different countries. As organizations mature, diversify their expertise and generate more resources, they also develop by venturing into new sectors; establishing cross sector linkages; becoming active partners of networks and coalitions; and meeting the challenges of emerging problems such as, HIV/AIDS, globalization or conflict.

**Use and Management of Technical Knowledge and Skills**--this capacity area relates to the degree to which project staff, partners and beneficiaries possess and use the requisite knowledge and skills in the key technical areas needed to successfully implement the proposal. At an organizational level, this capacity area illustrates how effectively the organization utilizes and manages the knowledge and skills of its staff.

**Financial Resource Management**-- this capacity area pertains to how an organization manages its finances, including the availability of funds for planned activities, the status and effectiveness of financial management and accounting systems, the accuracy of financial data, budgeting, fundraising and other relevant financial issues. Organizations with strong capacities in this area regularly use established procedures to maintain revenue and expenses in balance; make accurate financial projections; include financial contingency measures which prevent operational disruptions; modify expenditures on a timely basis to account for revenue shortfalls; and disburse funds in a timely manner.

**Human Resource Management**--this capacity area relates to staff development and training, deployment, recruitment, compensation; performance appraisal; opportunities for advancement; grievance and conflict management processes; administrative personnel practices; supervision; allocation of tasks; and other areas related to the management of an organization's human resources. Organizations with strong capacities in human resource management routinely offer staff training that directly contributes to the achievement of the organization's priorities; provide opportunities for staff growth and development; and proactively address the issue of staff turnover.

**Sustainability**—this capacity area includes activities related to financial sustainability (a project's ability to continue under alternative funding sources or improved cost recovery when its original grant expires), strategic partnering practices (aligning with a local partner whose capacity can be built to the extent that it can eventually assume both financial and technical responsibility for the project. This area also includes coalition and network building); environmental sustainability (nature of a project's impact on the environment); political fit of the project into the host-government's vision; and cultural sustainability (how an organization's practices fit within the values, beliefs, and practices of the countries it works in).

## APPENDIX B

### ELIGIBLE COUNTRY LIST

<u>AFRICA*</u>		<u>ASIA AND NEAR EAST</u>		EUROPE AND EURASIA (CON'T)
	Angola		Bangladesh	Kyrgyzstan
	Benin		Cambodia	Latvia
	Democratic Republic	**	East Timor	Lithuania
	of the Congo		Egypt	Moldova
	Eritrea		India	Poland
	Ethiopia		Indonesia	Romania
	Ghana		Jordan	Russia
	Guinea		Lebanon	Slovak Republic
	Kenya	**	Laos	** Slovenia
	Liberia		Mongolia	** Tajikistan
	Madagascar		Morocco	** Turkey
	Malawi		Nepal	** Turkmenistan
	Mali	**	Pakistan	** Ukraine
	Mozambique		Philippines	** Uzbekistan
	Namibia		Sri Lanka	
	Nigeria	**	Thailand	
	Rwanda		Tunisia	
	Senegal	**	Vietnam	
	South Africa	**	Yemen	
	Tanzania		West Bank/Gaza	
	Uganda			
	Zambia			
	Zimbabwe		<u>EUROPE AND EURASIA</u>	<u>LATIN AMERICA/ CARIBBEAN</u>
			Albania	
			Armenia	Bolivia
			Azerbaijan	Brazil
			Belarus	Columbia
			Bosnia-Herzegovina	Dominican Republic
			Bulgaria	Ecuador
			Croatia	Eastern Caribbean***
		**	Cyprus	El Salvador
		**	Czech Republic	Guatemala
		**	Estonia	Guyana
			Georgia	Haiti
			Hungary	Honduras
			The Caucasus	Jamaica
		**	FYR Macedonia	Mexico
			Kazakhstan	Nicaragua
			Kosovo and Montenegro	Panama
				Paraguay
				Peru

**NOTE:** This list of eligible countries is subject to change without prior notice. Check with PVC or Regional Bureaus for latest updates and to confirm status prior to application submission.

\*The countries listed for the Africa Region are designated Priority 1 in that Region - Activities in presence countries that support approved bilateral strategic objectives (see Africa Region website for lists of Strategic

*Objectives)*

*Priority 2 (Africa Region) - Activities in non-presence countries with approved strategies include: Sierra Leone, Somalia and Sudan.*

*Priority 3 (Africa Region) - Activities in non-presence countries that support approved Regional Strategic Objectives: This includes every country in Sub-Saharan Africa, but see website for approved Regional Strategic Objectives.*

*Priority 4 (Africa Region) - Activities in presence countries that may be outside of existing SOs, but have been approved by Missions.*

*\*\* There is currently no USAID Mission. PVOs are strongly encouraged to confirm eligibility with PVC and Regional Bureaus before submitting application.*

*\*\*\*Antigua, Barbuda, Dominica, St. Lucia, St. Vincent and the Grenadines.*

*There are special legislative restrictions on activities in some countries. The Missions/Regional Bureaus should be consulted regarding restrictions before submitting an application.*

*Due to political uncertainties that may affect USAID's ability to support programs in some countries, PVOs should contact PVC and Missions prior to developing proposals.*

**APPENDIX C**  
**USAID MISSION ADDRESSES**  
**(LISTED ALPHABETICALLY BY COUNTRY)**

*PVOs are advised to verify commercial courier addresses and contact person directly with Missions. PVOs are also strongly encouraged to verify that submissions have been received by all Missions for all countries proposed.*

USAID REPRESENTATIVE  
 USAID/AMERICAN  
 EMBASSY  
 103 RRUGA E ELBASANIT  
 TIRANA, **ALBANIA**

USAID REPRESENTATIVE  
 OR PVO LIAISON  
 OFFICER  
 USAID/ANGOLA  
 64 RUA DA LIGA  
 AFRICANA LUANDA,  
**ANGOLA**

ARMENIA  
 SEE CAUCASUS

AZERBAIJAN  
 SEE CAUCASUS

PROGRAM OFFICER OR  
 PVO LAISON OFFICER  
 USAID  
 C/O AMERICAN  
 EMBASSY  
 MADHANI AVENUE,  
 BARIDHARA  
 DHAKA, **BANGLADESH**

USAID REPRESENTATIVE  
 USAID  
 RUE CAPORAL ANANI  
 BERNARD, B.P. 2012  
 COTONOU, **BENIN**

USAID REPRESENTATIVE  
 USAID  
 MINSK, **BELARUS**  
 9-011-8922-92-18-98

PROGRAM OFFICER  
 USAID/BOLIVIA  
 109 CALLE 9  
 OBRAJES  
 LA PAZ, **BOLIVIA**

USAID REPRESENTATIVE  
 OR  
 PVO LIAISON OFFICER  
 USAID REGIONAL  
 CENTEER FOR  
 SOUTHERN AFRICA  
 PLOT NO. 1418  
 LEBATLANE ROAD  
 GABORONE WEST  
 EXTENSION 6  
 GABORONE, **BOTSWANA**

USAID REPRESENTATIVE  
 OR  
 PVO LIAISON OFFICER  
 USAID/AMERICAN  
 EMBASSY  
 SES AVENIDA DAS  
 NACOES  
 QUADRA 801, LOTE 3  
 BRASILIA - DF - 70403-900  
**BRAZIL**

PVO LIAISON OFFICER  
 OR  
 USAID REPRESENTATIVE  
 C/O AMERICAN  
 EMBASSY  
 1 SUBORNA STREET  
 SOFIA - 1000, **BULGARIA**

USAID REPRESENTATIVE  
 USAID S/C AMBASSADE  
 AMERICAINE B.P. 1930  
 AVENUE DES ETAS UNIS  
 BUJUMBURA, **BURUNDI**

USAID/CAMBODIA  
 NO. 18 MONGKUL EAM  
 ST. #228  
 PHNOM, PENH,  
**CAMBODIA**

SUBMISSIONS FOR  
 THE CAUCASUS:  
 - **ARMENIA**

- **AZERBAIJAN**  
 - **GEORGIA**  
 USAID/CAUCASUS/TBLIS  
 I  
 20 TELAVI ST, 5<sup>TH</sup> FLOOR  
 TBILISI, 380036  
 REPUBLIC OF GEORGIA

SUBMISSIONS FOR  
 CENTRAL ASIAN  
 REPUBLICS  
 - **KAZAHSTAN**  
 - **KYRGYSZSTAN**  
 - **TAJIKISTAN**  
 - **UZBEKISTAN**  
 PVO LIAISON OFFICER  
 USAID/ALMATY  
 C/O AMERICAN  
 EMBASSY  
 97A FURMANOV STREET  
 480091 ALMATY,  
 KAZAKHSTAN

USAID REPRESENTATIVE  
 USAID CALLE 22D, BIS.  
 47-51  
 BOGOTA, **COLUMBIA**

PVO LIAISON OFFICER  
 OR DIRECTOR  
 198 ISIRO AVE  
 KINSHASA/GOMBE  
**DEMOCRATIC**  
**REPUBLIC OF CONGO**  
**(ZAIRE)**

PROJECT OFFICER OR  
 PVO LIAISON OFFICER  
 5 RUE JESSE OWENS  
 01 B.P. 1712  
 ABIDJAN, **COTE**  
**D'IVOIRE**

USAID REPRESENTATIVE  
 OR  
 PVO LIAISON OFFICER

C/O AMERICAN  
EMBASSY  
ANDRIJE HABRANGE 2  
ZAGREB, **CROATIA**

DIRECTOR  
AMERICAN EMBASSY  
USAID/SANTO DOMINGO  
LEOPOLDO NAVARRO 12  
SANTO DOMINGO,  
**DOMINICAN REPUBLIC**

PVO LIAISON OFFICER  
USAID  
1573 AV. COLOMBIA Y  
QUESERAS  
DEL MEDIO  
EDIFICIO COMPUTEC  
QUITO, **ECUADOR**

DIRECTOR, EDUCATION,  
TRAINING & PVO  
SUPPORT  
USAID/CAIRO  
106 KASR EL AI NI  
STREET  
CAIRO CENTER, 9<sup>TH</sup>  
FLOOR  
CAIRO, **EGYPT**

PVO LIAISON OFFICER  
USAID/EL SALVADOR  
URBANIZACION Y  
BOULEVARD SANTA  
ELENA  
ANTIGUO CUSCATLAN  
LA LIBERTAD, **EL  
SALVADOR**

USAID REPRESENTATIVE  
OR  
PVO LIAISON OFFICER  
USAID/ASMARA  
34 ZERA YACOB STREET  
ASMARA, **ERITREA**

CHIEF, HUMAN &  
INSTITUTIONAL  
DEVELOPMENT OFFICE  
USAID/ETHIOPIA  
RIVERSIDE BUILDING  
(OFF ASMARA RD &  
BOLE/OLYMPIA)  
ADDIS ABABA,  
**ETHIOPIA**

**FORMER  
YUGOSLAVIAN  
REPUBLIC OF  
MACEDONIA**  
NO USAID COMMERCIAL  
COURIER ADDRESS,  
CHECK WITH REGIONAL  
BUREAU CONTACT

PVO LIAISON OFFICER  
OR DIRECTOR  
USAID/GHANA  
E45/3 INDEPENDENCE  
AVE  
ACCRA, **GHANA**

DIRECTOR  
USAID  
1 CALLE 7-66, ZONA 9  
01009 GUATEMALA  
**GUATEMALA, C.A.**

PVO LIAISON OFFICER  
OR DIRECTOR  
USAID/GUINEA  
CAMAYENNE CORNICHE  
NORD  
QUARTIER CAMEROUN  
CONAKRY, **GUINEA**

USAID REPRESENTATIVE  
OR  
PVO LIAISON OFFICER  
USAID  
AVENIDA DOMINGOS  
RAMOS  
C.P. 297 BISSAU,  
**GUINEA-BISSAU**

USAID REPRESENTATIVE  
USAID/MISSION TO  
GUYANA  
263 EARL'S AVENUE  
SUBRYANVILLE  
GREATER  
GEORGETOWN, **GUYANA**

PVO LIAISON OFFICER  
USAID  
#17 HARRY TRUMAN  
BLVD.  
PORT AU PRINCE, **HAITI**

DIRECTOR  
USAID  
AVENIDA LA PAZ

FRENTE EMBAJADA  
AMERICAN  
TEGUCIGALPA DC,  
**HONDURAS**

USAID REPRESENTATIVE  
OR  
PVO LIAISON OFFICER  
USAID  
BANK CENTER GRANIT  
TOWER  
SZABADSAG TER 7-8  
4<sup>TH</sup> FLOOR 1944  
BUDAPEST, **HUNGARY**

OFFICE OF PROGRAM  
DEVELOPMENT  
USAID/AMERICAN  
EMBASSY  
SHANTIPATH,  
CHANAKYAPURI  
NEW DELHI 110 021,  
**INDIA**

PVO LIAISON OFFICER  
USAID/ INDONESIA  
JL. MEDAN MERDEKA  
SELATAN 3-5  
JAKARTA 10110,  
**INDONESIA**

DIRECTOR  
USAID/WEST  
BANK/GAZA  
C/O AMERICAN  
EMBASSY  
71 HAYARKON STREET  
TEL AVIV, **ISRAEL** 63903

PVO LIAISON OFFICER  
USAID/KINGSTON  
2 HAINING ROAD  
KINGSTON 5, **JAMAICA**

USAID OFFICE  
PVO LIAISON OFFICER  
C/O AMERICAN  
EMBASSY, ABDOUN  
AMMAN, **JORDAN**

KAZAKHSTAN  
SEE CENTRAL ASIAN  
REPUBLICS  
PVO LIAISON OFFICER  
OR DIRECTOR  
USAID  
USAID TOWERS

THE CRESCENT,  
PARKLANDS  
NAIROBI, **KENYA**

KYRGYZSTAN  
SEE CENTRAL ASIAN  
REPUBLICS

PVO LIAISON OFFICER  
ANTELIAL  
BEIRUT, **LEBANON**

USAID REPRESENTATIVE  
OR  
PVO LIAISON OFFICER  
USAID  
C/O AMERICAN  
EMBASSY  
MYKOLAICIO PUTINO 4  
VILNIUS (E), **LITHUANIA**

PVO LIAISON OFFICER  
OR DIRECTOR  
USAID/MADAGASCAR  
IMMEUBLE VONISOA III  
AVENUE DOCTEUR  
RAVOHANGY  
ANOSY,  
ANTANANARIVO, 101  
**MADAGASCAR**

PVO LIAISON OFFICER  
OR DIRECTOR  
USAID/MALAWI  
NICO HOUSE, 1ST FLOOR  
LILONGWE 3, **MALAWI**

PVO LIAISON OFFICER  
OF DIRECTOR  
USAID/MALI  
IMMEUBLE  
DOTEMBOUGOU  
RUE RAYMOND  
POINCARRE  
& RUE 319  
QUARTIER DU FLEUVE  
BAMAKO, **MALI**

USAID REPRESENTATIVE  
USAID/MEXICO  
PASEO DE LA REFORMA  
305  
COL. CUAUHTEMOC  
06500 - MEXICO D. F.,  
**MEXICO**

SUBMISSIONS FOR  
MOLDOVA SHOULD BE  
SENT TO BOTH OF THE  
MISSIONS BELOW:  
USAID/MOLDOVA  
AMERICAN EMBASSY  
103 MATEEVIA ST.  
CHISINAU, MD 2009  
**MOLDOVA**  
AND  
USAID/KIEV  
19 NIZHNYI VAL SR.  
KIEV  
254071 **UKRAINE**

USAID REPRESENTATIVE  
USAID  
C/O AMERICAN  
EMBASSY  
ULAANBAATAR,  
**MONGOLIA**

PVO LIAISON OFFICER  
USAID  
137, AVENUE ALLAL BEN  
ABDALLAH  
RABAT, **MOROCCO**

PVO LIAISON OFFICER  
OR DIRECTOR  
USAID/MOZAMBIQUE  
PROGRAM & ACTIVITY  
DEVELOPMENT OFFICE  
107 RUE FARIA DE  
SOUSA  
MAPUTO,  
**REPUBLIC OF  
MOZAMBIQUE**

USAID REPRESENTATIVE  
OR  
PVO LIAISON OFFICER  
USAID  
6<sup>TH</sup> FLOOR, SOUTHERN  
LIOFE TOWER POST  
STREET MALL  
WINDHOEK 9000,  
**NAMIBIA**

PROGRAM OFFICER  
USAID/NEPAL  
RABI BHAWAN,  
KALMATI  
P.O. BOX 5653  
KATHMANDU, **NEPAL**

DEPUTY CHIEF

OFFICE OF HUMAN  
INVESTMENT  
USAID/NICARAGUA  
C/O AMERICAN  
EMBASSY  
MANAGUA, **NICARAGUA**

PVO LIAISON OFFICER  
USAID/NIGERIA  
1601 ADEOLA HOPEWELL  
VICTORIA ISLAND  
LAGOS, **NIGERIA**

PVO LIAISON OFFICER  
USAID  
EDIFICIO PLAZA  
REGENCY  
SEGUNDO PISO, VIA  
ESPANA  
PANAMA CI  
Y, **REPUBLICA DE  
PANAMA**

**PAKISTAN**  
NO USAID IN-COUNTRY  
PRESENCE, CHECK WITH  
REGIONAL BUREAU  
CONTACT

USAID REPRESENTATIVE  
OR  
PVO LIAISON OFFICER  
USAID  
MAYOR FLEITAS 256  
ASUNCION, **PARAGUAY**

DIRECTOR  
USAID  
AV. AREQUIPA 351  
LIMA 1, **PERU**

PROGRAM OFFICER/PVO  
OFFICER  
USAID  
RAMON MAGSAYSAY  
BUILDING  
1680 ROXAS  
BOULEVARD, MALATE  
1004  
MANILA, **PHILIPPINES**

USAID REPRESENTATIVE  
OR  
PVO LIAISON OFFICER  
C/O AMERICAN  
EMBASSY

ALEJE UJAZDOWSKIE  
29/31  
WARSAW, **POLAND**

USAID/REPRESENTATIVE  
USAID OFFICE  
26 BLVD N. BALCESCU  
5<sup>TH</sup> FLOOR  
BUCHAREST, **ROMANIA**

USAID REPRESENTATIVE  
OR  
PVO LIAISON OFFICER  
USAID  
NOVINSKIY BULVAR  
MOSCOW, **RUSSIA**

PVO LIAISON OFFICER  
OR DIRECTOR  
AVENUE PAUL VI  
BP 2848  
KIGALI, **RWANDA**

PVO LIAISON OFFICER  
OF DIRECTOR  
USAID  
C/O AMERICAN  
EMBASSY  
BP 49  
AVENUE JEAN XXIII &  
RUE KLEBER  
DAKAR, **SENEGAL**

PVO LIAISON OFFICER  
OR DIRECTOR  
USAID  
SANCARDIA BUILDING,  
9TH FL  
524 CHURCH STREET  
ARCADIA, PRETORIA  
0007  
**SOUTH AFRICA**

DIRECTOR  
USAID  
356 GALLE ROAD  
COLOMBO 3, **SRI LANKA**

USAID REPRESENTATIVE  
USAID  
C/O AMERICAN  
EMBASSY  
KHARTOUM, **SUDAN**

TAJIKISTAN  
SEE CENTRAL ASIAN  
REPUBLICS

PVO LIAISON OFFICER  
OR DIRECTOR  
USAID  
3RD FL, ATC HOUSE  
OHIO STREET  
DAR ES SALAAM,  
**UNITED REP. OF  
TANZANIA**

TOGO  
SEE WEST/CENTRAL  
AFRICA REGION

PVO LIAISON OFFICER  
OR DIRECTOR  
USAID  
C/O AMERICAN  
EMBASSY  
42 NAKASERO ROAD  
KAMPALA, **UGANDA**

UZBEKISTAN  
SEE CENTRAL ASIAN  
REPUBLICS

SUBMISSIONS FOR  
WEST/CENTRAL AFRICA  
REGION  
- **COTE D'IVOIRE**  
- **TOGO**  
PVO LIAISON OFFICER  
USAID/ABIDJAN  
5, RUE JESSE OWENS  
01 BP 1712  
ABIDJAN 01, **COTE  
D'IVOIRE**

PVO LIAISON OFFICER  
OR DIRECTOR  
USAID MISSION  
351 INDEPENDENCE  
AVENUE  
LUSAKA, **ZAMBIA**

PVO LIAISON OFFICER  
OR DIRECTOR

USAID/ZIMBABWE  
1 PASCOE AVENUE  
BELGRAVIA  
HARARE, **ZIMBABWE**

**VIET NAM**  
NO USAID MISSION  
PRESENCE IN-COUNTRY,  
CHECK WITH REGIONAL

## BUREAU CONTACT



**APPENDIX D**  
**REGIONAL OFFICE ADDRESSES**

**AFRICA**

Regional Economic Development Services Offices (REDSO)

**EAST & SOUTHERN AFRICA:**

PVO LIAISON OFFICER  
USAID  
USAID TOWERS – REDSO/ESA  
THE CRESCENT, PARKLANDS  
NAIROBI, KENYA

Regional Center for Southern Africa (RCSA):

DIRECTOR  
USAID/REGIONAL CENTER FOR  
SOUTHERN AFRICA  
PLOT NO 14818 LEBATLANE ROAD  
GABORONE WEST EXTENSION 6  
GABORONE, BOTSWANA

**LATIN AMERICA/CARIBBEAN:**

Regional Office for Central American Programs (ROCAP)

DIRECTOR, REGIONAL PROGRAMS  
USAID/ROCAP  
1 CALLE 7-66, ZONA 9  
EDIFICIO PLAZA UNO  
01009 GUATEMALA CITY, GUATEMALA

**NEW INDEPENDENT STATES:**

DIRECTOR, REGIONAL MISSION FOR CENTRAL ASIA REPUBLIC  
USAID/ALMATY  
C/O AMERICAN EMBASSY  
97A FURMANOV STREET  
480091 ALMATY, KAZAKHSTAN

PVOs interested in proposing a regional approach should contact the above regional offices in the same manner as you would a mission. Likewise, applications should be sent to the regional offices for review.

## APPENDIX E

### COVER SHEET FOR SUBMITTING APPLICATION TO MISSION

Country: \_\_\_\_\_  
USAID Mission Director: \_\_\_\_\_  
Address: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

### FY 2002 MATCHING GRANT APPLICATION

USAID/BHR/PVC has requested that \_\_\_\_\_(PVO) provide appropriate USAID Missions with a copy of their application for **PVC's centrally-funded Matching Grant Program**, which requests PVC support for in-country programs. PVC will provide review guidance to the Missions by cable. Your participation in the review of these applications is critical and your assistance is appreciated.

Questions for PVC should be directed to:

Martin Hewitt  
Chair, Matching Grant Review Committee  
USAID/BHR/PVC  
1300 Pennsylvania Avenue, NW 7.6D  
Washington, D.C. 20523-7600  
(703) 741-0565 or (202) 712-1531  
E-mail: mhewitt@usaid.gov

Questions for the PVO should be directed to:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

## APPENDIX F

### NOTES TO BUDGET

\*PLEASE BE SURE TO PROVIDE BUDGET WORKSHEETS FOR HEADQUARTERS AS WELL AS EACH PROPOSED COUNTRY AS A SUPPLEMENT TO THE STANDARD FORM 424.\*\*

(1) **Cost-Sharing Arrangement:** The Recipient has agreed to expend from its non-Federal cash funds by the end of the life-of-project (LOP) period the amount of total cost-share/match expenditures specified in the Recipient Share columns of the budget. The Recipient is required to meet the requirements of the Standard Provision of this Agreement entitled "Cost-Sharing/Matching". The Recipient is required to report in its annual reports and in the Financial Status Report Form SF 269 the total amount of cost-sharing/matching to date. Although the Recipient is required to cost-share/match on a life-of-project basis, it is also expected to expend those funds on a pro-rata basis per year and not wait until the last year of the agreement to expend its cost share match. Partner contributions may be applied to the cost-share when auditable as such.

(2) **Procurement:** The Recipient is expected to use its own private cost-share/matching funds for all procurements of non-expendable property estimated at over \$5000 per unit, for all procurements of motor vehicles (including motor bikes) and for all non-U.S. procurements. This alleviates the requirement for a source/origin waiver and also places the title to property completely in the Recipient's name.

(3) **Salaries:** The budget line for salaries must reflect levels of effort being supported by the grant, i.e. by title, person days and rate. USAID's maximum rate is ES-6 or \$483.46 per day.

(4) **Travel:** The budget narrative must include a breakout of both domestic and international travel and indicate departure & destination locations, number of trips, position title and number of persons traveling, number of days per trip.

(5) **Cost Basis:** The budget narrative should fully explain the basis for the line item costs and should explain in sufficient detail why proposed costs are reasonable, so that the Grant Officer can easily verify the cost based on the calculations indicated in the narrative. This will obviate the need to request budget clarifications, which delay the processing of the award. The narrative need not cover each individual component of each line item. It may cover groups of items as appropriate. The description of the basis should answer questions like the following:

- ☐ are the proposed salaries based on current salaries and are they appropriate for the locality?
- ☐ are airfares based on quotes for coach fare?
- ☐ are equipment purchase costs based on catalogue prices or supplier quotes?
- ☐ are proposed per diems based on established policies?
- ☐ are proposed costs reasonable and why?

(6) **Grant Budget:** The budget in the award document will normally have only four (4) cost elements.

The budget will be set up as follows:

- (1) Program (or output)\*
- (2) Training
- (3) Procurement
- (4) Indirect Costs (overhead)
- Total

\* If the Recipient's application has more than one output or program, each output/program should be listed separately. Ordinarily, each instrument supports only one output/objective.

Each Object Class Category (cost element) listed in Block 6 of the SF424A has a notation next to it which indicates the budget cost element into which it will normally fall. (For example: Personnel (1) - shows Object Class Category 6a. Personnel would be in the "Program" cost element.)

## **APPENDIX F** *cont.*

NOTE: The Procurement cost element includes anything the Recipient has to contract out for such as consultant services, subcontracts (NOT subgrants), supplies, equipment, evaluation costs that are subcontracted, etc.

The form 424A contains 11 Object Class Categories, including the Total. Recipient costs proposed for Training and Subgrants must be included in the “Other” Object Class Category. The costs proposed for Training and Subgrants must itemized in the budget notes explanation of the Object Class Categories so that Training may be included in Line Item 2 of the award and subgrants may be included in Line Item 1.

The Matching Grant program now requires that the PVO grantee arrange and manage mid-term (for 5 year programs only) and final evaluations (for all programs). Please be sure to include the costs of these evaluations as a line item in your proposal budget

(7) **Partners/Subgrantees:** Costs must be separated into those assigned to the applicant organization and those for the partner organization which will be shown as a subgrant for purposes of this Cooperative Agreement.

### **PLEASE NOTE: FORMS CAN BE DOWNLOADED FROM USAID'S HOME PAGE AS FOLLOWS:**

[http://www.usaid.gov/procurement\\_bus\\_opp/procurement/forms/](http://www.usaid.gov/procurement_bus_opp/procurement/forms/)

*The CDIE TIPS may also be downloaded from  
the USAID website as follows:*

<http://www.usaid.gov>, click on "Publications", then "USAID Evaluation Publications", then "CDIE Performance Monitoring and Evaluation TIPS", lastly "Selecting Performance Indicators" and “Guidelines for Indicator and Data Quality”. (You will need acrobat reader to download the document.)

**PVC's Results Report may be downloaded from PVC's homepage  
located on the USAID website.**

[http://www.usaid.gov/hum\\_response/pvc/](http://www.usaid.gov/hum_response/pvc/)

<b><u>APPLICATION FOR FEDERAL ASSISTANCE</u></b>		2. DATE SUBMITTED		Applicant Identifier NA	
		3. DATE RECEIVED BY STATE		State Application Identifier NA	
1. TYPE OF SUBMISSION:		4. DATE RECEIVED BY FEDERAL AGENCY		Federal Identifier NA	
Application ____ Construction __X__ Non-Construction	Reapplication NA ____ Construction ____ Non-Construction				
5. APPLICATION INFORMATION					
Legal Name:			ORGANIZATIONAL UNIT		
Address (give only county, state, and zip code):			Name and telephone number of person to be contacted on matters involving this application (give area code)		
6. EMPLOYER IDENTIFICATION NUMBER (EIN):  Letter of Credit Number: DUNS:			7. TYPE OF APPLICATION: (enter appropriate letter in box).....		M
8. TYPE OF APPLICATION  __X__ New      ____ Continuation      ____ Revision  If Revision, enter appropriate letter(s) in box(es)..... <input type="text"/>  A. Increase Award      D. Decrease Duration B. Decrease Award      E. Other (specify): C. Increase Duration			A. State B. County C. Municipal D. Township E. Interstate F. Inter-municipal G. Special Dist.		H. Independent School Dist I. State Controlled Institution of Higher Learning J. Indian Tribe K. Individual L. Profit Organization M. Other (specify)
10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:  NA  TITLE:			9. NAME OF FEDERAL AGENCY  USAID/BHR/PVC		
12. AREAS AFFECTED (Cities, Counties, States, etc.):			11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:		
13. PROPOSED PROJECT		14. CONGRESSIONAL DISTRICTS OF:			
START DATE	END DATE	a. Applicant  NA	b. Project  NA		

15. ESTIMATED FUNDING:		16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?	
a. Federal	\$	a. YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS REVIEW ON:  DATE  B. NO. <u>  X  </u> PROGRAM IS NOT COVERED BY E.O. 12372 <u>  X  </u> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW	
b. Applicant	\$		
c. State	\$ NA		
d. Local	\$ NA		
e. Other	\$		
f. Program Income	\$		
g. TOTAL	\$		
17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?		<u>      </u> Yes    If "Yes", attach an <u>      </u> No explanation	
18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT, THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED.			
a. Type Name of Authorized Representative		b. Title	c. Telephone Number
d. Signature of Authorized Representative			e. Date Signed

Standard Form 424 (REV 4-92); Prescribed By OMB Circular A-102

## APPENDIX G

### INSTRUCTIONS FOR THE SF 424

Public reporting burden for this collection of information is estimated to average 45 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget. Paperwork Reduction Project (0348-0043), Washington, DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET, SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

This is a standard form used by applicants as a required facesheet for preapplications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain applicant certification that States which have established a review and comment procedure in response to Executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

Item:

Entry:

1. Self-explanatory.

2. Date application submitted to Federal agency (or State if applicable) & applicant's control number (if applicable).

3. State use only (if applicable).

4. If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank.

5. Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of the applicant, and the name and telephone number of the person to contact on matters related to this application.
6. Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.
7. Enter the appropriate letter in the space provided.
8. Check appropriate box and enter appropriate letter(s) in the space(s) provided:
  - "New" means a new assistance award.
  - "Continuation" means an extension for an additional funding/budget period for a project with a projected completion date.
  - "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation.
9. Name of Federal agency from which assistance is being requested with this application.
10. Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.
15. Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15.
16. Applications should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State inter government review process.
17. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent auditdisallowances loans and taxes.
18. To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)

**SF 424 Back (Rev. 4-92)**

Item:

Entry:

11. Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.
12. List only the largest political entities affected (e.g., State, counties, cities).
13. Self-explanatory.
14. List the applicant's Congressional District and any District(s) affected by the program or project.

APPENDIX H

Standard Form 424A  
Budget Information - Non-Construction Programs

SECTION A - BUDGET SUMMARY					
Grant Program Function Or Activity {a}	Catalog of Federal Domestic Assistance Number {b}	Estimated Unobligated Funds		New or Re	
		Federal {c}	Non-Federal {d}	Federal {e}	Non
1. Headquarters	\$ NA	\$ NA	\$ NA	\$	\$
2. Field	NA	NA	NA		
3. NA	NA	NA	NA	NA	
4. NA	NA	NA	NA	NA	
5.TOTALS	\$ NA	\$ NA	\$ NA	\$	\$
SECTION B - BUDGET CATEGORIES					
6. Object Class Categories		USAID PROGRAM		RECIPIENT FUNDS	
		(1) Federal	(2) Non-Federal	{3}	
a. Personnel (1)		\$	\$	\$ NA	\$
b. Fringe Benefits (1)				NA	
c. Travel (1)				NA	
d. Equipment (3)				NA	
e. Supplies (3)				NA	
f. Contractual (3)				NA	
g. Construction N/A				NA	
h. Other (1), (2) (see notes)				NA	
i. Total Direct Charges (sum of 6a-6h)				NA	
j. Indirect Charges (4)				NA	



k. TOTALS (sum of 6i and 6j)	\$	\$	\$	\$
7. Program Income	\$	\$	\$	\$

**STANDARD FORM 424A (cont'd)**

<b>SECTION C - NON-FEDERAL RESOURCES</b>				
(a) Grant Program		(b) Applicant	(c) State	(d) Other
8. Headquarters		\$	\$ NA	\$
9. Field			NA	
10. NA		NA	NA	
11. NA		NA	NA	
12. TOTAL (sum of lines 8-11)		\$	\$ NA	\$
<b>SECTION D - FORECASTED CASH NEEDS</b>				
13. Federal		Total for 1st Year	1st Quarter	2nd Quarter
		\$	\$	\$
14. Non-Federal				
15. TOTAL (sum of lines 13 and 14)				
<b>SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE P</b>				
(a) Grant Program		Future Funding Period:		
		(b) First	(c) Second	(d)
16. Headquarters		\$	\$	\$
17. Field				
18. NA		NA	NA	
19. NA		NA	NA	
20. TOTAL (sum of lines 16-19)		\$	\$	\$
<b>SECTION F - OTHER BUDGET INFORMATION</b>				
21. Direct Charges:		22. Indirect Charges:		
23. Remarks:				

## APPENDIX H

### Standard Form 424A (cont'd.) INSTRUCTIONS FOR THE SF 424A

Public reporting burden for this collection of information is estimated to average 180 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget. Paperwork Reduction Project (0348-0044), Washington, DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET, SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

#### General Instructions

This form is designed so that application can be made for funds from one or more grant programs. In preparing the budget, adhere to any existing Federal grantor agency guidelines, which prescribe how, and whether budgeted amounts should be separately show for different functions or activities within the program. For some programs, grantor agencies may require budgets to be separately shown by function or activity. For other programs, grantor agencies may require a breakdown by function or activity. Sections A, B, C and D should include budget estimates for the whole project except when applying for assistance which requires Federal authorization in annual or other funding period increments. In the latter case, Section A, B, C and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories shown in Lines a-k of Section B.

#### Section A. Budget Summary Lines 1-4 Columns (a) and (b)

For applications pertaining to a *single* Federal grant program (Federal Domestic Assistance Catalog number) and *not requiring* a functional or activity breakdown, enter on Line 1 under Column (a) the catalog program title and the catalog number in Column (b).

For applications pertaining to a *single* program *requiring* budget amounts by multiple functions or activities, enter the name of each activity or function on each line in Column (a), and enter the catalog number in Column (b). For applications pertaining to multiple programs where none of the programs require a breakdown by function or activity, enter the catalog program title on each line in *Column (a)* and

the respective catalog number on each line in Column (b).

For applications pertaining to *multiple* programs where one or more programs require a breakdown by function or activity, prepare a separate sheet for each program requiring

the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should provide the summary totals by programs.

#### Lines 1-4, Columns (c) through (g)

*For new applications*, leave Columns (c) and (d) blank. For each line entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the first funding period (usually a year).

*For continuing grant program applications*, submit these forms before the end of each funding period as required by the grantor agency. Enter in Column (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the grant funding period only if the Federal grantor agency instructions provide for this. Otherwise, leave these columns blank. Enter in columns (e) and (f) the amounts of funds needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Columns (e) and (f).

*For supplemental grants and changes* to existing grants, do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of the increase of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (e) and

(f). The amounts(s) in Column (g) should not equal the sum of amounts in Columns (e) and (f).

**Line 5** - Show the totals for all columns used.

**SF 424A (Rev. 4-92) Page 3**

Standard Form 424A (cont'd.)

INSTRUCTIONS FOR THE SF 424A (continued)

**Section B. Budget Categories**

In the column headings (1) enter Federal, and (2) enter Non-Federal. When additional sheets are prepared for Section A, provide similar column headings on each sheet. For each program, function or activity, fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

**Lines 6a-i** - Show the totals of Lines 6a to 6h in each column.

**Line 6j** - Show the amount of indirect cost.

**Line 6k** - Enter the total of amounts on Lines 6i and 6j. For all applications for new grants and continuation grants the total amount in column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5. For supplemental grants and changes to grants, the total amount of the increase or decrease as shown in Columns (1)-(4), Line 6k should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5.

**Line 7** - Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. Show under the program narrative statement the nature and source of income. The estimated amount of program income may be considered by the federal grantor agency in determining the total amount of the grant.

**Section C. Non-Federal Resources**

**Lines 8-11** - Enter amounts of non-Federal resources that will be used on the grant. If in-kind contributions are included, provide a brief explanation on a separate sheet.

**Column (a)** - Enter the program titles identical to Column (a), Section A. A breakdown by function or activity is not necessary.

**Column (b)** - Enter the contribution to be made by the applicant.

**Column (c)** - Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency. Applicants who are a State or State agencies should leave this column blank.

**Column (d)** - Enter the amount of cash and in-kind contributions to be made from all other sources.

**Column (e)** - Enter totals of Columns (b), (c), and (d).

**Line 12** - Enter the total for each of Columns (b)-(e). The amount in Column (e) should be equal to the amount on Line 5, Column (f) Section A.

**Section D. Forecasted Cash Needs**

**Line 13** - Enter the amount of cash needed by quarter from the grantor agency during the first year.

**Line 14** - Enter the amount of cash from all other sources needed by quarter during the first year.

**Line 15** - Enter the totals of amounts on Lines 13 and 14.

**Section E. Budget Estimates of Federal Funds Needed for Balance of the Project**

**Lines 16-19** - Enter in Column (a) the same grant program titles shown in Column (a), Section A. A breakdown by function or activity is not necessary. For new applications and continuation grant applications, enter in the proper columns amounts of Federal funds which will be needed to complete the program or project over the succeeding funding periods (usually in years). This section need not be completed for revisions (amendments, changes, or supplements) to funds for the current year of existing grants.

If more than four lines are needed to list the program titles, submit additional schedules as necessary.

**Line 20** - Enter the total for each of the Columns (b)-(e). When additional schedules are prepared for this Section, annotate accordingly and show the overall totals on this line.

**Section F. Other Budget Information**

**Line 21** - Use this space to explain amounts for individual direct object-class cost categories that may appear to be out of the ordinary or to explain the details as required by Federal grantor agency.

**Line 22** - Enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect

during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

**Line 23** - Provide any other explanations or comments deemed necessary.

**SF 424A (Rev. 4-92) Page 4**

The following object class categories are those required on USAID Form 424A (Section B - Budget Categories):

**a. Personnel**

The category includes the salary of each long-term and short-term, paid position for the total estimated life-of-project, except consultants, and the projected cost-of-living or bonus/merit increase for each position. Note: USAID maximum compensation ceiling of ES-6 or \$483.46/day.

**b. Fringe Benefits**

This category includes the amount and percentage of fringe benefits for each headquarters and field personnel identified above. Include here all allowances such as housing, schooling, leave benefits, and other items. If the applicant does not have a Negotiated Indirect rate agreement (NICRA) with a Federal Agency, then all costs must be charged directly.

**c. Travel**

This category includes all projected travel, per diem and other related costs for personnel **except** consultants. Include the method by which airfare costs were determined; i.e. quotes for coach and if per diems are based on established policies. Provide the title of each traveler, number of trips, departure and arrival locations, and per diem for location.

**d. Equipment**

In accordance with 22 CFR 226, 'equipment' means tangible non-expendable personal property, including exempt property charged directly to the award having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit. Information should be included in the application on how pricing was determined for each piece of the equipment.

There are statutory constraints relating to the purchase of agricultural commodities, motor vehicles, pharmaceuticals, pesticides, rubber compounding chemicals and plasticizers, used equipment and fertilizer with USAID project funds. PVOs may obtain specific information on these regulations on USAID Web Site at <http://www.usaid.gov/pubs/ads>.

**e. Supplies**

In accordance with 22 CFR 226, 'supplies' means all personal property excluding equipment, intangible property, debt instruments and interventions.

There are statutory constraints relating to the purchase of agricultural commodities, motor vehicles, pharmaceuticals, pesticides, rubber compounding chemicals and plasticizers, used equipment and fertilizer with USAID project funds. PVOs can obtain specific information on these regulations on USAID Web Site at <http://www.usaid.gov/pubs/ads/300/312/htm>.

**f. Contractual Services**

This category is for all subcontracts with organizations, which will provide services to the project and any short- or long-term consultant cost including fees, travel and per diem. This category is not to be used for sub-grants, which should be included in other.

**g. Construction**

N/A

**h. Other**

PVOs are to identify all costs associated with training of project personnel.

PVOs planning to use USAID funds to send project staff or local counterparts for training in the U.S. or a country other than the host country, will be required to follow the guidance on USAID Participant Training Regulations, which may be found on the USAID Web Site <http://www.usaid.gov/pubs/ads>.

The PVO should provide information on any costs attributed to the project not associated above; i.e. communications, facilities, fuel vehicles, repair, maintenance and insurance.

Include in this budget class category all subgrants.

**i. Indirect Charges**

Include a copy of the PVO's most recent negotiated indirect cost rate agreement (NICRA) from cognizant audit agency showing the overhead and/or general administrative rate.

USAID Form 424A, Section C should reflect the PVO's and other sources' cash contribution to this program. A cash match means that funds are used to support the budget elements discussed above. This does not include volunteer labor from U.S. or host country sources. The cash value of donated equipment or supplies, must be documentable.

**A narrative that justifies the costs as appropriate and necessary for the successful completion of the program should be attached to USAID Form 424.**



The Cooperative Agreement Budget generally has four (4) different categories called Budget Cost Elements: Program, Training, Procurement, and Indirect Costs. A sample Agreement Budget is included below. On Standard Form 424A, Section B–Budget Categories, all eleven Object Class Categories have a footnote number next to them. The footnote numbers next to the Object Class Categories correspond to one of the four Cost Elements of the Cooperative Agreement Budget. The 11 Object Class Categories fit within the four Cost Elements of the Cooperative Agreement Budget. For this application, submit only the Standard Form 424 and 424A, with the corresponding eleven (11) Object Class Categories, supported by a detailed narrative. Do **NOT** use the four **Cost Elements of the Cooperative Agreement Budget shown below**.

SAMPLE COOPERATIVE AGREEMENT BUDGET

<u>Budget Cost Element</u>	SF 424, sec.B, Item 6 <u>Object Class Category</u>	<u>Budget Amount</u>
Program	Line a, c, and h	\$ _____
Training	Line h	\$ _____
Procurement	Line d, e and f	\$ _____
Indirect Costs	Line j	\$ _____
Program's Total Budget		\$ _____
Funding arrangement:		
Total USAID Amount		\$ _____
Recipient's Cost Share		\$ _____
Total Program Funding		\$ _____

## APPENDIX I

### U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT

#### CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF APPLICANT/GRANTEE <sup>1</sup> <sup>2</sup>

##### **1. ASSURANCE OF COMPLIANCE WITH LAWS AND REGULATIONS GOVERNING NON-DISCRIMINATION IN FEDERALLY ASSISTED PROGRAMS**

(a) The applicant/grantee hereby assures that no person in the United States shall, on the bases set forth below, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under, any program or activity receiving financial assistance from USAID, and that with respect to the grant for which application is being made, it will comply with the requirements of:

(1) Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352, 42 U.S.C. 2000-d), which prohibits discrimination on the basis of race, color or national origin, in programs and activities receiving Federal financial assistance;

(2) Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving Federal financial assistance;

(3) The Age Discrimination Act of 1975, as amended (Pub. L. 95-478), which prohibits discrimination based on age in the delivery of services and benefits supported with Federal funds;

(4) Title IX of the Education Amendments of 1972 (20 U.S.C. 1681, et seq.), which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance (whether or not the programs or activities are offered or sponsored by an educational institution); and

(5) USAID regulations implementing the above nondiscrimination laws, set forth in Chapter II of Title 22 of the Code of Federal Regulations.

(b) If the applicant/grantee is an institution of higher education, the Assurances given herein extend to admission practices and to all other practices relating to the treatment of students or clients of the institution, or relating to the opportunity to participate in the provision of services or other benefits to such individuals, and shall be applicable to the entire institution unless the applicant/grantee establishes to the satisfaction of the USAID Administrator that the institution's practices in designated parts or programs of the institution will in no way affect its practices in the program of the institution for which financial assistance is sought, or the beneficiaries of, or participants in, such programs.

(c) This assurance is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts, property, discounts, or other Federal financial assistance extended after the date hereof to the applicant/grantee by the Agency, including installment payments after such date on account of applications for Federal financial assistance which were approved before such date. The applicant/grantee recognizes and agrees that such Federal financial assistance will be extended in reliance on the representations and agreements made in this Assurance, and that the United States shall have the right to seek judicial enforcement of this Assurance. This Assurance is binding on the applicant/grantee, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign this Assurance on behalf of the applicant/grantee.

##### **2. CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS -- PRIMARY COVERED TRANSACTIONS**<sup>3</sup>

(a) Instructions for Certification

<sup>1</sup> FORMATS/GRNTCERT: Rev. 04/04/95 (TM 13:63/TM 1B:90/CIB95-11).

<sup>2</sup> When these Certifications, Assurances, and Other Statements of Applicant/Grantee are used for cooperative agreements, the following terms apply: "Grantee" means "Recipient," "Grant" means "Cooperative Agreement," and "Grant Officer" means "Agreement Officer."

<sup>3</sup> The applicant/grantee must obtain from each identified subgrantee and (sub) contractor, and submit with its application/proposal, the Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion – Lower Tier Transactions, set forth in Attachment A hereto. The application/grantee should reproduce additional copies as necessary.

1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.

2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.

3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

4. The prospective primary participant shall provide immediate written notice to the department or agency to whom this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

5. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meaning set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549.<sup>4</sup> You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.

6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transaction,"<sup>5</sup> provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the methods and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.

9. Nothing contained in the foregoing shall be construed to require establishment of a System of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealing.

10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

(b) Certification Regarding Debarment, Suspension, and Other Responsibility Matters--Primary Covered Transactions

(1) The prospective primary participant certifies to the best of its knowledge and belief, the it and its principals:

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<sup>4</sup> See Chapter 3 of USAID Handbook 13, 22 CFR 208.

<sup>5</sup> For USAID, this clause is entitled "Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)" and is set forth in the grant standard provision entitled "Debarment, Suspension, and Related Matters" if the applicant/grantee is a U.S.nongovernmental organization, or in the grant standard provision entitled "Debarment, Suspension, and Other Responsibility Matters" if the applicant/grantee is a non-U.S.nongovernmental organization.

(A) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(B) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(C) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(B) of this certification;

(D) Have not within a three-year period proceeding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

(2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

### **3. CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION LOWER TIER COVERED TRANSACTIONS**

#### **(a) Instruction for Certification**

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.

2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

4. The terms “covered transaction,” “debarred,” “suspended,” “ineligible,” “lower tier covered transaction,” “participant,” “person,” “primary covered transaction,” “principal,” “proposal,” and “voluntarily excluded,” as used in this clause, has the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. <sup>1/</sup> you may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.

5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled “Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion—Lower Tier covered Transaction,” <sup>2/</sup> without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows

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<sup>1/</sup> See Chapter 3 of USAID Handbook 13, 22 CFR 208.

<sup>2/</sup> For USAID, this clause is entitled “Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)” and is set forth in the USAID grant standard provision for U.S. non-governmental organizations entitled “Debarment, Suspension, and Related Matters” (See Appendix 4C of USAID Handbook 13), or in the USAID grant standard provision for non-U.S. non-governmental organizations entitled “Debarment, Suspension, and Other Responsibility Matters” (See Appendix 4D of USAID Handbook 13).

that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Non-procurement List.

8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

(b) Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion—Lower Tier Covered Transactions

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

**4. CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS**

(a) Instructions for Certification

(1) By signing and/or submitting this application or grant, the applicant/grantee is providing the certification set out below.

(2) The certification set out below is a material representation of fact upon which reliance was placed when the agency determined to award the grant. If it is later determined that the applicant/grantee knowingly rendered a false certification, or otherwise violates the

requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.

(3) For applicants/grantees other than individuals, Alternate I applies.

(4) For applicants/grantees who are individuals, Alternate II applies.

(b) Certification Regarding Drug-Free Workplace Requirements

**Alternate I**

(1) The applicant/grantee certifies that it will provide a drug-free workplace by:

(A) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the applicant's/grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(B) Establishing a drug-free awareness program to inform employees about--

1. The dangers of drug abuse in the workplace;
2. The applicant's/grantee's policy of maintaining a drug-free workplace;
3. Any available drug counseling, rehabilitation, and employee assistance programs; and
4. The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(C) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (b)(1)(A);

(D) Notifying the employee in the statement required by paragraph (b)(1)(A) that, as a condition of employment under the grant, the employee will--

1. Abide by the terms of the statement; and

2. Notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five days after such conviction;

(E) Notifying the agency within ten days after receiving notice under subparagraph (b)(1)(D)1. from an employee or otherwise receiving actual notice of such conviction;

(F) Taking one of the following actions, within 30 days of receiving notice under subparagraph (b)(1)(D)2., with respect to any employee who is so convicted--

1. Taking appropriate personnel action against such an employee, up to and including termination; or

2. Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(G) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (b)(1)(A), (b)(1)(B), (b)(1)(C), (b)(1)(D), (b)(1)(E) and (b)(1)(F).

(2) The applicant/grantee shall insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

**Place of Performance (Street address, city, county, state, zip code)**

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## **Alternate II**

The applicant/grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance in conducting any activity with the grant.

## **5. CERTIFICATION REGARDING LOBBYING**

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, United States Code.

Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

**6. CERTIFICATION REGARDING ASSISTANCE TO DRUG TRAFFICKERS**

**(a) KEY INDIVIDUAL CERTIFICATION**  
**NARCOTICS OFFENSES AND DRUG TRAFFICKING**

I hereby certify that within the last ten years:

1. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.
2. I am not and have not been an illicit trafficker in any such drug or controlled substance.
3. I am not and have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Title/Position: \_\_\_\_\_

Name: \_\_\_\_\_

Organization: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

Date of Birth: \_\_\_\_\_

**NOTICE:**

1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain key individuals of organizations must sign this Certification.
2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

**Mandatory Reference: 206**

**Supplementary Reference: N/A**

**File Name: ads15/20657m1**

**(b) PARTICIPANT CERTIFICATION**  
**NARCOTICS OFFENSES AND DRUG TRAFFICKING**

1. I hereby certify that within the last ten years:

- a. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.
- b. I am not and have not been an illicit trafficker in any such drug or controlled substance.
- c. I am not or have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

2. I understand that USAID may terminate my training if it is determined that I engaged in the above conduct during the last ten years or during my USAID training.

Signature: \_\_\_\_\_

Name: \_\_\_\_\_

Date: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

Date of Birth: \_\_\_\_\_

**NOTICE:**

1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain participants must sign this Certification.

2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

**Mandatory Reference: 206**

**Supplementary Reference: N/A**

**File Name: ads15/20657m2**

**\*COVERED COUNTRIES**

The 487 Regulations apply when assistance is being provided to or through an individual or entity in a covered country.

**WHAT ARE THE COVERED COUNTRIES?**

The covered countries are those identified annually as major, illicit, drug-producing or drug-transit countries under Section 490(h) of the FAA as well as any country or portion of a country that the State Department determines is to be treated as a covered country under the 487 Regulations.

As of November 10, 1999, the following are Covered Countries: AFR: Nigeria; ANE: Afghanistan, Burma, Cambodia, China, Hong Kong, India, Laos, Pakistan, Taiwan, Thailand, Vietnam; ENI: None; LAC: The Bahamas, Bolivia, Brazil, Colombia, Dominican Republic, Ecuador, Guatemala, Haiti, Jamaica, Mexico, Panama, Paraguay, Peru, Venezuela.

**7. AGREEMENT ON GRANT TERMS AND CONDITIONS**

The applicant/grantee certifies that it has reviewed and is familiar with the proposed grant format and the standard provisions applicable thereto, and that it agrees to comply with all such terms and conditions, except as noted below (use a continuation page as necessary):

**Solicitation No.**

\_\_\_\_\_

**Application/Proposal No.** \_\_\_\_\_

**Date of Application/Proposal** \_\_\_\_\_



**Name of Applicant/Grantee** \_\_\_\_\_

**Typed Name and Title** \_\_\_\_\_

**Signature** \_\_\_\_\_

**Date** \_\_\_\_\_

## APPENDIX J

### (RECIPIENT CERTIFICATE OF COMPLIANCE)

#### LETTERHEAD

Date

To: Contracting Officer  
M/OP/PS/OCC  
USAID, Room 7.08-061  
Washington, DC 20523

I, (Name Printed or Typed), (Title), as a legally authorized representative of (Organization Name), do hereby certify that, to the best of my knowledge and belief, this organization's management and other employees responsible for their implementation are aware of the requirements placed on the organization by OMB Circulars, and Federal and USAID regulations with respect to the management of, among other things, personnel policies (including salaries), travel and procurement under this agreement and I further certify that the organization is in compliance with those requirements.

I, we, understand that a false, or intentionally misleading, certification could be the cause for possible action ranging from being found not responsible for this award to suspension or debarment of this organization in accordance with the provisions of USAID Regulation 8.

I, we, further agree to instruct the accounting firm that this organization retains to perform its annual audits, as required by OMB Circular A-133, to include in their review of our internal controls sufficient testing of the implementation of our personnel, travel and procurement policies to confirm compliance with Federal and USAID requirements. The conclusions of that compliance review will be included in the A-133 audit reports submitted to the government.

I declare under penalty of perjury that the foregoing is true and correct.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Type or Print Name

\_\_\_\_\_  
Position Title

\_\_\_\_\_  
Date of Execution

## **APPENDIX K**

### **SUSTAINABILITY METHODOLOGY: MICROENTERPRISE PROJECTS**

For programs that include a microenterprise development component, describe the following elements of the activity.

#### **GENERAL INFORMATION**

- Program methodology, i.e., solidarity groups, village banks, or individual loans; client selection and loan approval process; collection system.
- Administrative and financial information and control systems.
- Strategy for marketing/advertising the program to potential clients (include discussion of demand analysis and market penetration surveys).
- Assumption and features of the business plan (aspects of reaching scale, accessing capital, improving cost efficiency).

#### ***COUNTRY SPECIFIC INFORMATION***

- Complete Appendix L: Simplified Activity and Financial Statement in US \$ for each country program. (Please provide this information for each proposed year of funding)
- Complete Appendix Lb: Aging of Portfolio Report and Appendix Lc: Financial Ratios report for each country program.
- Average loan term (include nominal and effective interest rates).
- Repayment schedule/process.
- Financial and Operational sustainability : indicate current cost-recovery rate and projected level of financial and operational sustainability for each year of the program. (Include definition of what costs are covered at what levels of operation.)

# **APPENDIX L-For Microenterprise Programs Only**

Simplified Activity and Financial Statement					
	In US\$	(Exchange rate used @ US \$1 = _____)			
Program and Country:	2002	2003	2004	2005	2006
<b>ACTIVITIES</b>					
1. Amount of loans outstanding, start of year					
2. Amount of loans outstanding, end of year					
3. Avg. amount of loans outstanding					
4. Number of loans outstanding					
5. Average loan size (line 2 divided by line 4)					
6. Portfolio at Risk > than 30 days					
7. Long run loss rate (line 16 divided by line 3)					
<b>INTEREST RATES</b>					
8. Nominal interest rate charged by program					
9. 90 day CD rate					
10. Inflation rate					
<b>CLIENT REVENUES</b>					
11. Interest income from clients					
12. Fee income from clients					
13. Total client revenues (lines 11 + 12)					
<b>OPERATING EXPENSES</b>					
14. General Operating Expenses (salaries, rents, utilities, etc.)					
15. Depreciation of fixed assets					
16. Loan loss provision expense					
17. Total Operating Expenses					
<b>ADJUSTED FINANCIAL EXPENSES</b>					
18. Adjusted financial expenses (line 3 multiplied by the higher of line 9 or 10)					
<b>TOTALS</b>					
19. Total Expenses (line 17 plus line 18)					
20. Financial Sustainability (line 13 divided by 19)					
<b>OTHER</b>					
21. Total number of voluntary savers					
22. Total voluntary savings outstanding					
23. Percent women borrowers (of line 4)					
24. Percent rural clients (of line 4)					
25. Total Number of staff					
26. Number of field officers (credit staff)					
27. Number loans outstanding with initial balance under poverty loan level for your region.					

## **Notes to Appendix L, by line item**

- Amount of loans outstanding, start of year. Monetary volume of portfolio in US\$.
- Portfolio at Risk **Over 30 days**. Divide unpaid balance of loans with payments overdue more than 30 days by the amount of loans outstanding, end of year (line 2). Include as an attachment an aging of portfolio table: 1-30 days; 31-60 days; 61-90 days; over 90 days. See chart below.
- Long run loss rate. Divide amount of loans written off during the past year (line 16) by average amount of loans outstanding (line 3).

16. Loan loss provision. Loans over one year delinquent should be added to write-offs.
19. Adjusted financial expenses. Cost of financing the portfolio at a 90 day CD cost of funds. This calculation avoids the need to adjust separately for various forms of subsidy.
27. Poverty lending levels vary by region. For Africa, Asia and the Middle East it is <\$300. For LAC it is <\$400, and for the Europe & Eurasia region it is <\$1,000.

APPENDIX Lb-For Microenterprise Programs Only

INSTITUTION: Aging of Portfolio Report			
US\$			
Period: As of _____			
	# of Loans	Outstanding Balance	Percent
Current Loans			
1-30 days past due			
31-60 days past due			
61-90 days past due			
Over 90 days past due			
TOTALS			100%

**FINANCIAL RATIOS**

**Data as of (please indicate date) \_\_\_\_\_**

**Profitability**

Return on Equity (Net income/Average equity)

Return on Assets (New income/Average assets)

**Financial Structure**

Net loans/Total Assets

Investments/Total Assets

**Earnings**

Portfolio Yield (Interest and Fee Income/Average gross portfolio)

**Management**

Operating expenses/Average gross portfolio

First loans/Total number of loans in period

Percentage of first loans in period with initial loan balance at \$300 or less

Number field officers/total staff

Number of borrowers/field officers

Percentage growth from one year ago in number of loans

**Stratification of Loan Portfolio**

(on the basis of initial balance of loan)

No. loans under \$300

No. loans \$301-\$500

No. loans \$500 - \$1,000

No. loans \$1,001- \$1,500

No. loans \$1,501- \$2,000

No. loans \$2,000 - \$3,000

No. loans \$3,000 +

